

NUMBERING

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REVISION PAGE

Section	Reason	Date

INFORMATION PRIVACY PRINCIPLES FOR INDIVIDUALS

1. Information Gathering and Use Principle

We gather personal information only if it is relevant and necessary for us to accomplish our mission. We use personal information in a responsible and lawful manner.

- We gather personal information only after we determine we have an appropriate use for it.
- We strive to use only information that is accurate, complete, and current.
- If we use personal information for other than the original intended purpose, we first determine that the new use is appropriate.

2. Information Sharing Principle

We share personal information only when we have legal authority to do so.

- We do not share personal information with others unless: (a) you have given us the authority to share the information, or (b) the other party has legal authority to receive the information.
- We educate others with whom we share personal information on the requirement to protect privacy.

3. Information Retention Principle

We retain personal information only as long as necessary to fulfill established business needs for that information.

- We periodically review our business needs to retain personal information.
- We destroy the personal information we no longer need.

4. Information Security Principle

We have reasonable safeguards to ensure the security and confidentiality of personal information.

- We educate our employees on the importance of protecting the privacy of personal information.
- We protect personal information against loss or theft, as well as unauthorized access, disclosure, copying, use, or modification.
- We provide personal information only to employees who have a business need and only when appropriate safeguards are in place.
- We tailor our safeguards based on the type of information we maintain.
- We periodically review our practices to ensure we have adequate safeguards.

INFORMATION PRIVACY PRINCIPLES FOR INDIVIDUALS (CONT.)

5. Right to Know Principle

Individuals have the right to know what types of personal information we gather and use.

- We advise you of what types of personal information we gather and how we use the information.
- We advise you of what types of personal information we share with other organizations and the authority for sharing the information.
- We routinely inform the public about our information privacy policies and practices.
- We provide, upon request, information about our privacy policies and practices, including the names of staff responsible for overseeing our compliance.

6. Right to Inspect and Correct Principle

Individuals have the right to inspect the personal information we maintain about them.

- We have an accessible and simple inspection and correction process.
- We respond to your request within a reasonable time and at minimal or no cost to the individual.
- We correct the personal information when more accurate or complete facts are established.

7. Right to be Heard Principle

You have a right to be heard if you believe we failed to adhere to our Information Privacy Principles for Individuals.

- We have an accessible and simple complaint process.
- We investigate all complaints and respond promptly.
- We take corrective measures when appropriate.

8. Commitment Principle

We periodically have outside privacy experts review our practices to ensure that we follow our Information Privacy Principles for Individuals.

INTRODUCTION

The Numbering Unit receives all personal income tax, corporation returns, and documents from other units in the Receiving Unit. The numberer reviews and assigns the returns into workloads. The numbered batch contains the same form type, year, and date received, or it will be pulled and returned to the responsible unit. ID Shorts are quality reviewed before being routed to the Numbering Unit.

When Numbering finishes the review process, returns and documents are routed to Truck Control for release.

Truck Control is responsible for all outgoing work and routes to the appropriate area. The unit keeps track of information on DLN (Document Locator Number), volumes, and released work dates by keying this information into the Truck Control database.

BATES NUMBERING MACHINE

BATES MACHINE PARTS

Setting Dial – The front of the bates machine has a face with an arrow that can be moved to point to any of the four parts of the machine.

(1) Repeat – The same number is repeated indefinitely. Use for stamping:

- Folders.
- Block Assignment Sheets.
- Envelopes.
- Truck and Number Assignment Sheets.

(2) Duplicate – A number is repeated twice before advancing to a higher number. Use for stamping:

- Remit returns.
- Remit documents.

(3) Consecutive – Numbers advance in numerical order. Use for stamping:

- Nonremit returns and HRA.

(4) Triplicate – A number is repeated three times before advancing to a higher number. Use for stamping:

- Returns with multiple remit.
- Estimates with multiple remit.
- CORP/PIT Documents with multiple remit.

Ink Pad – Pull up the cover of ink pad and add ink as often as necessary to assure clear numbers.

Number Wheel – The numbers on the wheel can only rotate in one direction. To return to a previously stamped number, the wheels must be advanced until the numbers appear.

DIFFERENT TYPES OF MACHINES FOR NUMBERING

PUC Machines

8 small numbers – all Nontax and Bank & Corp workloads: 00000000

COD – 7 digits (drop first zero)	7000000
VRC – 7 digits (drop first zero)	2000000
HRA – 8 digits	00000000
PUC – 8 digits	00000000
Bank & Corp documents (Corp estimates)	00000000

PIT Machines

2 small, 2 large, and 4 small numbers (PIT=Personal Income Tax): 00000000

ID Shorts – 7 digits (drop first zero)	1000000
ID Longs – 7 digits (drop first zero)	3000000
PIT Tax Returns – 8 digits	00000000

Date Stamps

REMIT – used when a check is attached	REMIT OCT 05 2001 SAC
REC'D – used when a check is not attached	REC'D OCT 05 2001 SAC

BATES NUMBER CHANGING PROCEDURE

INTRODUCTION:

The bates numbering machine is set to the correct DLN series before numbering begins.

RULE:

When setting desired number, turn the face of the machine upside down with setting dial towards you. Set the digits from right to left.

NUMBER CHANGING PROCEDURES

STEP	PROCEDURE
1.	Turn setting dial to "Repeat."
2.	Move the inkpad assembly by depressing the handle of the bates numbering machine down completely to lock the handle.
3.	Turn each number wheel, with pencil, until the correct number shows on the dial. Note: Do not use a metal object to turn number wheel.
4.	Re-position the inkpad assembly by slightly depressing the handle of the bates numbering machine to unlock the handle.
5.	Turn the setting dial to the correct setting for the work to be numbered.

BATES MACHINE REPAIR

INTRODUCTION:

The Receiving Machines Unit cleans and repairs the bates numbering machines. A bates machine repair request must be filled out for each damaged bates machine.

Note:

Any detached parts (i.e., screws, plates, etc.) should be taped to the bates or machine repair tag.

PROCEDURE STEPS

STEP	PROCEDURE
1.	Fill out bates machine repair tag, FTB 6260, with: <ul style="list-style-type: none"> • Date. • Machine Serial Number. • Detailed problem. • Supervisor's name.
2.	Attach tag to defective machine with rubber band.
3.	Take bates to Machines Unit for repair.

Machine Serial No. _____
Sent to Repair: ____ / ____ / ____
Reason: _____

_____ SUPERVISOR
Repairs Made: _____
Reason: _____

_____ SERVICEMAN
Returned to Numbering: ____ / ____ / ____
FTB 6260 (7-76)

DATE STAMPING FOR PIT

INTRODUCTION:

Cover sheets are stamped with received date and attached to all incoming PIT (Personal Income Tax) returns and documents. The date determines the timely processing of the returns. File folders containing documents are also date stamped. The checks attached to the PIT returns and documents are placed inside the folder. Checks are placed on top of the return or document with the remit date written in pencil on the folder and then routed to Numbering Unit. It is required to write the same date that is on the folder or cover sheet in the DLN record book or truck sheet. Verify the date with the DLN record if it is disputed or keyed in error.

PROCEDURES (JAN 1 – APR 15):

Do not mix timely and delinquent returns until after Information Capture & Banking Section's (ICBS) cut-off date of May 30 for processing all timely returns.

RETURN TYPE	PROCEDURE
PIT DOCS	Date stamp the days on envelope or folder, process date or mixed dates.
BANKRUPTCY	Date stamp FTB 6146, Batch Control Sheet, with received current date (i.e., REC'D mm/dd/yyyy).
540 RETURNS	Date stamp current year return file folders filed January 1 through April 15 with Box Label Date or batched with date on cover sheet. Exception: If returns are individually date stamped with different dates and are in the same block, stamp "Mixed Dates" on the file folder.
541 RETURNS	If all the returns have the same dates, use that date on the block folder. Exception: If the returns have different dates, stamp "Mixed Dates" on the file folder.
HRA	HRA Return Folder, FTB 1942: always stamp the mail date found on the side box or on route slip. Exception: Previous/Prior Year claims are put into the folder with the date on top. If there is no date on box of HRA, use oldest date on route slip.

FOLDER PREPARATION for REMIT & NONREMIT

INTRODUCTION:

The front of the folder is filled out as follows.

RULE:

When the batch contains a check of **** or more, a large green dot is placed on the folder to indicate "Big Money."

When numbering HRA (Homeowner/Renter Assistance) and the claims are previous/prior year, in the series box write "PY" in pencil next to the DLN in the HRA book.

EXCEPTION:

If all the returns have the same date, then stamp that date on the folder. If there are different dates, stamp "Mixed Dates" on the folder.

FORM 1942 PREPARATION

STEP	PROCEDURE
1.	Top Flap – write the four large numbers on the front and back flap in colored felt tip pen. Use the same pen color as the DLN stamp. Example: Block number for PIT return folder [0011] 00
2.	DLN Line – stamp beginning batch number.
3.	File Date – stamp either the remit or rec'd date if all returns have the same date. If documents have various dates, stamp "Mixed Dates" on the file date line.
4.	Check the appropriate box for 540, HRA, and 541 workloads. These workloads have section numbers located at the top of the DLN sheet.
5.	Series Box – write series number.
6.	# ER Box – write your ID number or initials here.
7.	Number Boxes – circle last number in batch.
8.	Item Count – write total number of documents in the batch.

FOLDER PREPARATION

INSTRUCTION:

If return is removed, circle last two digits of the return number.

Enter requester's identification number and date.

C STOCK FTB 1942 (REV.7-1996)

①															
DLN ②															
FILE DATE ③															
REMIT AMT.						ITEM COUNT ⑧									
<input type="checkbox"/> 540-135.110 WITHHOLD ④															
<input type="checkbox"/> 565-140.104 PARTNERSHIP															
<input type="checkbox"/> HRA-315.101 HOME/RENT SEC.8.															
TRUCK NO.															
<input type="checkbox"/> 541-135.341 FIDUCIARY SEC.8.															
CMC/UNIT BOX NO.															
<input type="checkbox"/> SEC.8.															
SERIES ⑤															
# or ⑥	DATA ENTRY CHECKS		ENTRY1/DATE		ENTRY2/DATE		VERIFY 1		VERIFY 2		DATA ENTRY QR		RR	R.T I	CR
Q.R	DATA ENTRY DOCS		DOC#		DOC#		DOC#		DOC#		DOC#		Q.R.	Q.R.	Q.R.
#	REQ. CODE	DATE	#	REQ. CODE	DATE	#	REQ. CODE	DATE	#	REQ. CODE	#	REQ. CODE	#	REQ. CODE	DATE
00			20			40			60		80				
01			21			41			61		81				
02			22			42			62		82				
03			23			43			63		83				
04			24			44			64		84				
05			25			45			65		85				
06			26			46			66		86				
07			27			47			67		87				
08			28			48			68		88				
09			29			49			69		89				
10			30			50			70		90				
11			31			51			71		91				
12			32			52			72		92				
13			33			53			73		93				
14			34			54			74		94				
15			35			55			75		95				
16			36			56			76		96				
17			37			57			77		97				
18			38			58			78		98				
19			39			59			79		99				

FOLDER PREPARATION (CONT.)

USE	FOR	STEP	PROCEDURE
FTB 1940 PRE- PRINTED FOLDER UNID MISC	ID MISC NPA NPA MISC UNID EST. W. CORR.	1.	Print your initials in the initial column and PREPARER line.
		2.	Stamp current date or "Mixed Dates." Look at documents to find date.
		3.	Stamp beginning batch no. in batch no. box and "ON FTB BATCH NO." line under appropriate process letter: <div> <div>FOR</div> <div>CHECK PROCESS LETTER</div> </div> <div> <div>ID MISC</div> <div>A</div> </div> <div> <div>NPA</div> <div>B</div> </div> <div> <div>NPA MISC.</div> <div>C</div> </div> <div> <div>UNID MISC</div> <div>D</div> </div> <div> <div>UNID EST</div> <div>E</div> </div> <div> <div>W/ CORR.</div> </div>
		4.	Write actual item count on "Item Count" line.

USE	FOR	STEP	PROCEDURE
FTB 1953 ENVELOPE	ID MISC SHORT	1.	Stamp ID Misc. Short in upper left corner of envelope.
		2.	Stamp the workload date or "Mixed Dates" on Remit date line.
		3.	Stamp batch number on Document batch number line and on right end of envelope. Batch number is beginning DLN.
		4.	Write actual item count on "Document Count" line.

FOLDER PREPARATION (CONT.)

ITEM COUNT	
ID #	<div style="text-align: center;">TYPE OF WORKLOAD</div> <div style="text-align: center;">(592/592B, 593/597, 592A/598, 594, REMIT)</div> <div style="text-align: right;">DLN #</div>
	<div style="border: 2px solid black; padding: 10px; margin: 10px auto; width: 80%;"> <div style="text-align: center;"> FRANCHISE TAX BOARD Messenger Service Route Slip </div> <div style="margin-top: 20px;"> TO : <u>NON-RESIDENT WITHHOLDING</u> DATE : <u>CURRENT</u> </div> <div style="margin-top: 20px; text-align: center;"> <div style="display: inline-block; text-align: center;">MAIL STOP</div> <div style="display: inline-block; text-align: center; margin: 0 10px;"> <div style="border: 1px solid black; padding: 5px;">F</div> </div> <div style="display: inline-block; text-align: center;">MAIL STOP</div> </div> <div style="margin-top: 20px;"> FROM : NUMBERING UNIT MAIL STOP: <div style="border: 1px solid black; padding: 2px 5px;">L</div> PHONE: <div style="border: 1px solid black; padding: 2px 5px;">160</div> </div> <div style="margin-top: 10px;"> COMMENTS TYPE OF WORKLOAD </div> </div>

NONREMIT PIT RETURN NUMBERING

INTRODUCTION:

Nonremit returns are sorted in the Extractions or Sorts Unit by the type of return. Current year timely nonremit 540, 540A, 5402EZ, and 540NR returns are brought directly to Truck Control from Extractions Unit. Previous year, prior year, and amended returns come from Sorts Unit.

RULE:

Do **not** mix various series of returns.

Be sure returns that are to be numbered are in the proper series. See Quickie Reference for Series Specifications.

Be sure no check is attached to the return.

Number of returns in block should not exceed thickness of file folder. Number **must** end in a 4 or 9. (Exception: Friday is short-out day.)

File date should **always** have "Rec'd" when dating nonremit file folders.

Date of mail or date received is written in the DLN record book or on truck sheet (same date stamped on the folder or cover sheet).

When all the returns have the same date but are individually stamped, then stamp that date on the file folders. If date stamps are different, then stamp "Mixed Dates" on folder.

Check Series Guide for Series information.

PROCEDURES

STEP	PROCEDURE
1.	Obtain boxes of nonremit returns from Truck Control.
2.	Get Truck and Number Assignment Sheet from top of truck. Be sure to verify that truck sheet is correct for workload.
3.	Set indicator lever to "Repeat," then set number on bates numbering machine to correspond with Block Number on Truck Assignment Sheet.
4.	Ink pad with proper color ink. Re-ink when numbers begin to fade.
5.	Using bates numbering machine, stamp the beginning number on Truck Assignment Sheet. Write date and your initials after number.
6.	Stamp number on a clear space in upper right corner of return.
7.	Check Quickie Reference Chart for Series Specification.

NONREMIT PIT RETURN NUMBERING (CONT.)

STEP	PROCEDURE
8.	<p>Prepare Return Folder (FTB 1942)</p> <p>Enter in pencil:</p> <ul style="list-style-type: none"> • Truck Number from truck assignment sheet. • Unit Box – position number of file folder on truck is 01-20. Always two digits (e.g., 1 is 01). • Series number from truck assignment sheet. • In the number box on the folder, write your initials. • Check correct job stream box. <p>Date stamp:</p> <ul style="list-style-type: none"> • File date: received date of returns. <p>Use bates numbering machine:</p> <ul style="list-style-type: none"> • Stamp DLN on top line of the folder. <p>Use a big felt tip pen with the same color as the numbering ink. Write four middle DLN digits down the front and back of file folder tab in large numbers.</p>
9.	Turn bates numbering machine lever to "Consecutive."
10.	Number each return with its own number.
11.	Continue numbering until last two digits are 99 or short block if necessary.
12.	Place numbered block in prepared folder. Circle last number stamped on prepared folder.
13.	<p>Enter number of returns in file folder in item count.</p> <p>1. Write the total number of returns placed in the file folder on the block number record sheet.</p>
14.	Place filled file folder in correct unit box on truck.
15.	Repeat procedure until numbers on the truck assignment sheet have been completed.
16.	Take completed truck to Truck Control area. Place incomplete blocks on top of the truck with truck assignment sheet and return to Truck Control to wait for more returns to fill the truck. Note: All complete and partial trucks need to be returned to Truck Control at the end of shift.

NONREMIT 541 RETURN NUMBERING

INTRODUCTION:

Nonremit 541 returns are sorted in the Sorts Unit by the type of return. The returns are boxed by the series number and brought to the Truck Control Unit to be put on trucks.

RULE:

Do **not** mix various series of returns.

Be sure returns to be numbered are in the proper series. See Quickie Reference Chart for Series Specifications.

Be sure no check is attached to the return.

Number of returns in block should not exceed thickness of file folder.

All 541s should be individually date stamped.

All current 541s are batched separately from previous and prior returns.

PROCEDURES

STEP	PROCEDURE
1.	Get truck of nonremit returns from truck control.
2.	Get truck assignment sheet from top of truck.
3.	Set indicator lever on bates numbering machine to "Repeat."
4.	Set numbers on bates numbering machine to correspond with block number on truck assignment sheet.
5.	Ink pad with proper color ink. Re-ink when numbers begin to fade.
6.	Using bates numbering machine, stamp the beginning number on truck assignment sheet. Write date and your initials after number.

NONREMIT 541 RETURN NUMBERING (CONT.)

STEP	PROCEDURE
7.	<p>Prepare return folder (FTB 1942).</p> <p>Enter in pencil:</p> <ul style="list-style-type: none"> • Truck number from truck assignment sheet. • Unit Box- position number of file folder on truck is 01-20. Always use two digits (e.g., 1 is 01). • Series number from truck assignment sheet. • In the number box on the folder, write your initials. <p>Date Stamp:</p> <ul style="list-style-type: none"> • File date: received date of returns. <p>Use bates numbering machine:</p> <ul style="list-style-type: none"> • Stamp DLN on top line of the folder. <p>Use a big felt tip pen with the same color as the numbering ink. Write four middle DLN digits down the front and back file folder tab in large numbers.</p>
8.	Turn bates numbering machine lever to "Consecutive."
9.	Number each return with its own number.
10.	Continue numbering until the last two digits are 99 or short block if necessary.
11.	Place numbered block in prepared folder. Circle last number stamped on folder.
12.	Enter number of returns in file folder in item count, if applicable.
13.	Place filled file folder in correct unit box on truck.
14.	Repeat procedure until numbers on the truck assignment sheet have been completed.
15.	Take completed truck to Truck Control area. Place incomplete blocks on top of truck with truck assignment sheet and return to Truck Control to wait for more returns to fill the truck.

Note:

Current 541 returns are Section 8.1 and Previous/Prior returns are Section 8.2. The folder is marked according to the returns.

REMIT PIT RETURN NUMBERING

INTRODUCTION:

5402EZ current year, amended, previous, and prior remit returns are sent to the Sorts Unit for posting and then sent to Numbering Unit. Current year 540, 540A, and 540NR returns are sent to the Extractions – Scannable Unit to prepare for Image Processing and Cashiering System (IPACS).

Checks are placed on top of the returns or documents. Remit returns with the same date of mail should be placed inside the FTB 1942 folder and the date should be written in pencil on top of the folder.

Note:

Remit returns coming from the Sorts Unit will have the remit amount posted to the top of the returns.

RULE:

Any checks for **** or more, see supervisor.

PROCEDURES

STEP	PROCEDURE
1.	Check must be written by the taxpayer or have SSN or taxpayer name on check written by other party. If check is attached to the wrong return, give it to your lead or supervisor. They will route to the Sorts Unit.
2.	File date should always be "REMIT" when dating file folders.
3.	Write the remit date in the corresponding DLN book.
4.	When all the returns have the same date but are individually date stamped, then stamp that date on the file folder. If date stamps are different, then stamp folder with "Mixed Dates."

REMIT PIT RETURN NUMBERING (CONT.)

Note:

You may have multiple cash slips in one batch not to exceed 110 items, as long as the entire batch is cash slips.

- Cash slip returns and multi-docs returns must go in the front of the block. Next go multi-checks with returns (no more than five of each multi per block), followed by single check returns.
- The number of returns in a block should not exceed 100 returns or the thickness of file folder.
- While numbering:
 - Check series guide often for series information.
 - Check that each check can be cashed.
 - Check if the amount posted on the return/document is the same as the amount of the check.
- Each year the DLN is stamped on the return with a different color ink.
- Each year a series list of remit DLNs is requested by Receiving to be placed in the Block Number Record Book by emailing EOSS.
- Numberers get remit returns from Series Bins on the Incoming Sort Table, and DLN from Block Number Record Books located in vertical organizers on same table.
 - Previous 1, 2, and 3
 - Previous 1 – One year from current date.
 - Previous 2 – Two years from current date.
 - Previous 3 – Three years from current date.
 - Prior Year – Four or more years from the current date.

REMIT PIT RETURN NUMBERING (CONT.)

PROCEDURES

STEP	PROCEDURE
1.	<p>Assign DLN from block number record book or from supervisor or designated employee and enter DLN on block assignment sheet. (Employee gets DLN from block number record book.)</p> <p>Write in Block Number Record book:</p> <ol style="list-style-type: none"> 1. Current date in "Date Numbered" box located to the left of the DLN that is used. 2. Your ID number in "Numbered By" box. 3. Stamp beginning number in the "Stamp first DLN of each Block" box. 4. Write actual count in item count box.
2.	Set indicator lever on bates numbering machine to "Repeat."
3.	Set numbers on bates numbering machine to correspond with DLN on block assignment sheet or block number record book.
4.	Ink pad on bates numbering machine with current color ink.
5.	Check Quickie Reference Chart for Series Specifications.
6.	Stamp DLN on block number record book to the right of the DLN assigned.
7.	Complete folder information as required.
8.	Set indicator lever on bates numbering machine to "Duplicate."
9.	Number return and remittance as indicated in document number placement. Note: Return and associated check(s) must have the same DLN.
10.	Continue numbering until last two digits are 99, or short block. Circle last number stamped on front of folder.
11.	Review numbered returns and checks.
12.	Separate checks from returns, stack checks into a neat pile, and bundle with size 18 rubber band.
13.	Stack returns into neat pile and place into the folder, then bundle with size 33 rubber band.
14.	Place checks on top of the folder under rubber band.
15.	Take the batches, or the pick-up person will route to Truck Control to be released to cashiering.

REMIT 541 RETURN NUMBERING

INTRODUCTION:

Remit 541 returns are sorted and the payment amount is verified in the Sorts Unit. All remit 541 returns should be posted with checks placed on top of the return. Gather returns with the same date and place inside the FTB 1942 folder and put date on top of the folder.

RULE:

Take any checks for **** or more to the supervisor.

File date should **always** be "REMIT" when dating 541 remit file folders.

When 541 returns are individually date stamped, but have the same date, then stamp that date on the file folders. If date stamps are different, then stamp folder with "Mixed Dates."

No more than five cash slips with returns in the same block, except on short block days.

Cash slip returns and multi-docs returns must go in the front of the block.

Next go multi-checks with returns. No more than five of each multi per block.

Number of returns in block should not exceed thickness of file folder.

While Numbering:

- Check series guide for series information.
- Check that each check can be cashed.
- Check if the amount posted on the 541 return is the same as the amount on the check.

All current 541 returns are batched separately from previous and prior returns.

Note:

See page 10 for folder preparation.

NUMBERING 541 BIG RETURNS

INTRODUCTION:

Some remit and nonremit returns received that are too big to fit into a regular truck unit box must have special handling.

PROCEDURES

STEP	PROCEDURE
1.	Truck Control will make up the FTB 6110 and write "Big Return" across top of FTB 6110. They will follow normal procedures for releasing returns.
2.	Obtain DLN from Truck Control for the series that has been set up for nonremit 541 big returns.

PIT DOCUMENTS

INTRODUCTION:

PIT documents (PIT Docs) are routed to Numbering Unit from PIT Misc & Video Unit. Each document and corresponding remittance is numbered with the same DLN. PIT documents include the following:

SERIES

CONTENT	SERIES	SEC	RECEIVED FROM
ID MISC (SHORT)	10000	8.1	Video PIT Misc
NIT TAX ON INSURANCE PREMIUMS	1950000	Leave Blank	PIT Misc
NPA	22000	8.2	Video PIT Misc
ID MISC (LONG)	22000	8.1	Video PIT Misc
ID MISC MULTI TAXPAYER PAYMENTS	22000	8.1	Video PIT Misc
NPA MISC	22000	8.3	Video PIT Misc
592, 593, 594, 597, 598	592, 592A, 594 = 96000 593 & 597 = 91000	No Code	PIT Misc
EXTENSIONS 540, 541	90000	8.10	PIT Misc
UNID MISC	90000	8.8	Video
UNID EST. AND SUSPENSE PAYMENT. (CODE 8) DENIED EXTENSIONS. PREVIOUS YR ESTIMATES	90000	8.9	Video PIT Misc Extensions
EXTENSIONS/MISC PAYMENTS/565	565 EXT-97000 565 MISC 99000	8.2 8.3	PIT Misc

BATCHING FOR PIT DOCS

INTRODUCTION:

Numbering returns are always batched in file folders. PIT docs are batched in either envelopes or file folders. When it is possible, PIT Docs and 540Es are batched in groups of 100.

RULES:

USE	FOR
FTB 1952 (ENVELOPE)	540ES/541ES
FTB 1953 (ENVELOPE)	ID MISC SHORT 565 MISC SHORT VRC SHORTS 568 LLC EXT 3522 568 LLC EXT 3537 ALL SHORTS COD I.H.S.
FTB 1941 (DOCUMENT FOLDER BLANK)	592, 592A, 593, 594, and 597 WITHHOLDING AT SOURCE OSCAR ISCAR RID PUC TNPX COD NITS VRC LONGS I.H.S.
FTB 1940 (DOCUMENT FOLDER PREPRINTED)	PIT Miscellaneous Identified (ID LONG) PIT NPA PIT NPA/MISCELLANEOUS (2 different docs and one check) PIT unidentified non-estimate (Doc code 8) Partnership Identified/Unidentified (565 Misc. or Limited Partnership)
FTB 1954	EXTENSIONS – 540, 541, and 565
FTB 6146 (BATCH CONTROL SHEET)	BANKRUPTCY

BATCHING FOR PIT DOCS (CONT.)

FTB 1952

DLN _____

Item Count _____

Remit Date _____

540ES

PROCESSING

DLN

Job Stream No. 110.10
Section 8.1

Cashier Checks _____

Cashier Documents _____

Entry _____

Verify _____

BATCHING FOR PIT DOCS (CONT.)

FTB 1953 **ID**

Document Batch Number_____

ID MISC SHORT

Truck Number_____CMC#_____

J.S. No._____Sec. 8._____Page_____

(A) Special Instructions_____

(B) Tax or Trans. Amt._____

1 (C) Document Count_____

2 (D) Remit Date_____

W_____V_____Corr._____

BATCHING FOR PIT DOCS (CONT.)

PIT AND PARTNERSHIP IDENTIFIED/UNIDENTIFIED PAYMENTS BATCH CONTROL	BATCH NUMBER
PREPARER: _____ DATE: _____	

	INITIALS □		INITIALS □		INITIALS □		INITIALS □		INITIALS □		INITIALS □	
	PROCESS A PIT MISC JS #110.105 SECT 8.1		PROCESS B PIT NPA JS #110.105 SECT 8.2		PROCESS PIT NPA/MISC JS#110.105 SECT.8.3		PROCESS D PIT UNIDENT NON-ESTI JS #110.106 SECT 8.3		PROCESS E PIT UNIDENT ESTI JS #110.105 SECT 8.3		PROCESS F PARTNERS IDENT/UNIDENT JS #140.104 SECT. 8.4	
DATA ENTRY INSTRUCTIONS												
1 TRUCK NUMBER												
2 CMC NUMBER												
3 FTB BATCH NO.												
4 TAX YEAR												
5 ITEM COUNT												
6 PROCESS DATE												
7 REMIT DATE												
8 TAX/TRANS AMT												
9 TRANS CODE	48		48		48		49		49		20	
DATE ENTRY OPERATORS	ENTRY	VERIFY	ENTRY	VERIFY	ENTRY	VERIFY	ENTRY	VERIFY	ENTRY	VERIFY	ENTRY	VERIFY
	ICBS CASHIERING JS #135.105 OR JS #140.105		SECT 8.1 CHECKS-W	SECT 8.2 DOCS-X					PAYMENT VALIDATION		INITIAL/PV OPID	QR OPID

BATCHING FOR PIT DOCS (CONT.)

FTB 1954

EXTENSION PAYMENT VOUCHERS

DLN

- ☐ **540/541 EXTENSIONS**
JS 110.106 SEC.8.10

TRUCK NO. _____ CMC _____

ITEM COUNT _____

TAX OR TRANS AMOUNT _____

REMIT DATE _____

- ☐ **565 EXTENSIONS**
JS 140.104 SEC.8.3

CASHIER CHECKS _____

CASHIER DOCUMENTS _____

ENTRY _____

- ☐ **CORP. EXTENSIONS**
JS 210.103 SEC.8.16

VERIFY _____

PIT DOC SERIES GUIDE

SERIES	CONTENTS
1200000 to 2199999	<p>This series includes those remittance documents REJECTED by RPS and routed to cashiers in the "1" series. Included in this series are the "IN LIEU" documents, Form 6350. Dishonored remittances and miscellaneous short-pay documents are numbered manually with individual DLNs.</p>
9000000 to 9039999	<p>ISCAR</p> <p>This series is reserved exclusively to ISCAR – In-State Contract Collections. These are payments collected and submitted by in-state vendors. The ISCAR Unit will deliver the check and vendor payment summary in person. After it is numbered, the ISCAR representative will deliver the batch to the appropriate sections through the remainder of the pipeline.</p>
9040000 to 9079999	<p>OSCAR</p> <p>This series is reserved exclusively for OSCAR – Out of State Collection Agency Remittances. These are reels of remittance payments from collection agencies contracted to collect from collection taxpayers that live outside California. The OSCAR Unit will deliver the check and vendor payment summary in person to Collections and Numbering. After it is numbered, the OSCAR representative will deliver the batch to the appropriate sections through the remainder of the pipeline.</p>

PIT DOC SERIES GUIDE (CONT.)

SERIES	CONTENTS
9080000 to 9089999 (Remit) 9090000 to 9099999 (Nonremit)	570 NITS – Premiums Tax for Independently Obtained Non-Admitted Insurance FTB 570 Attach route slip and header sheet, route to Withholding Services & Compliance.
9100000 to 9599999	597/593 – Real Estate Withholding These forms apply to California withholding on sales of California real property interests. A route slip is attached to the front of the batch folder to be routed to Withholding Services & Compliance.
9600000 to 9649999	592, 592A, 594 – Nonresident Withholding
9650000 to 9669999	593V – Voucher for Real Estate Withholding
9670000 to 9679999	963PC, 964PC, 965PC – Interest Notice Letters

PIT DOC SERIES GUIDE (CONT.)

SERIES	CONTENTS
2200000 to 3399999	<p>Identified payments (8 ½" x 11") document size including all of the following documents, which are batched separately:</p> <p>ID MISC (LONG)</p> <p>Computer account printouts, EWO, OTW, Liens, NTD (long), payment arrangement, identified payment without FTB form, long In-Lieu, and other various billings that have SSN and Name Control.</p> <p>NOTICE OF PROPOSED ASSESSMENT (NPA)</p> <p>An NPA document is easily identified by a "2" in the top right-hand corner. Includes long In-Lieus with "2" in doc code box or PA number indicated on document.</p> <p>NPA MISC</p> <p>540ES received with another document with one check paying for both documents.</p>
5300000 to 8399999	540 ESTIMATES OR ESTIMATED PAYMENTS 541

PIT DOC SERIES GUIDE (CONT.)

SERIES	CONTENTS
8400000 to 8599999	<p>All unidentified payment documents processed by the PIT Video Unit which are batched separately:</p> <p>UNID MISC</p> <p>Long payment document missing SSN, Tax Year, or Name Control.</p> <p>PREVIOUS YEAR ESTIMATES</p> <p>When ICBS does change over in March, previous year estimates are sent to PIT Video. PIT Video determines the tax year and places them on backing paper. Estimates will be coded with an "8" and routed to Numbering Unit.</p>
3400000 to 3999999	<p>ELF PAYMENT VOUCHERS</p> <p>540-541 EXT.</p> <p>Approved applications for automatic extension to file return.</p> <p>UNID EST W/ CORRESPONDENCE</p> <p>All In-Lieu remittance documents coded "8." Long estimates coded "8." All denied extensions.</p>

NUMBER PLACEMENT FOR PIT

INTRODUCTION:

The placement of the DLN is very important when numbering.

PLACEMENT PROCEDURES

DOCUMENT	PROCEDURE
RETURNS	Stamp number on a clear space in upper right corner of return.
BANKRUPTCY/PIT DOC	Stamp number on a clear space in upper half of document.
540ES	Stamp number on a clear space in upper middle of voucher.
CHECKS	Stamp number or numbers on upper right or upper center of check where numbers will be clearly seen.

Note:

Correction tape should **never** be used on a check.

RULE:

Do not stamp number over written or printed material such as:

- Amounts.
- Dates.
- Signature line.
- Under signature line.

Make sure all digits of the DLN are seen clearly seen and recognized. If you can't read it, then it is not clear.

Make sure the bates machine has the proper amount of ink for clear stamping of the DLN.

You can fix or change up to three numbers on docs, returns, and checks only, **not** on folders or envelopes.

PIT DOCS NUMBERING

PROCEDURES

STEP	PROCEDURE
1.	Obtain DLN from block number book for series you are numbering.
2.	Enter in book: <ul style="list-style-type: none"> • Current date in "Date Numbered" box to the left of the number taken. • Your initials in "Numbered By." • Stamp DLN in the block record book. • Next to DLN number, print type of documents in that batch (Example: ID MISC, PA, etc.). • After numbering, enter total item count for that block in the item count box.
3.	Set indicator lever on bates numbering machine to "Repeat."
4.	Set numbers on bates numbering machine to correspond with DLN assigned from book.
5.	Ink pad on bates numbering machine with current color ink. Re-ink when numbers begin to fade.
6.	Stamp block number on block assignment sheet.
7.	Check Quickie Reference Guide for Series Specifications.
8.	Fill out folder or envelope correctly.
9.	Set indicator lever on bates numbering machine to "Duplicate."
10.	Number document and remittance as indicated in document number placement. Note: Docs and associated check(s) must have the same DLN.
11.	Continue numbering until last two digits are 99, or short block.
12.	Review numbered return and checks.
13.	Separate checks from documents, stack checks into a neat pile, and bundle with size 18 rubber band.
14.	Stack documents into a neat pile and place inside the FTB 1940 folder or envelope. Bundle with size 33 rubber band for FTB 1940 folder and size 18 for envelope.
15.	The finished batch will be routed to Truck Control to be released for cashiering.

ESTIMATE NUMBERING

INTRODUCTION:

The majority of estimates go to IPACS. The only exceptions are mutilated checks and documents. Mutilated means an essential piece from either a check or document is missing.

PROCEDURES

STEP	PROCEDURE
1.	Get DLN numbers from estimate book.
2.	Set indicator lever on bates numbering machine to "Repeat."
3.	Set numbers on bates numbering machine to correspond with block number on block assignment sheet.
4.	Ink pad on bates numbering machine with proper color ink. Re-ink when numbers begin to fade.
5.	Using bates numbering machine, stamp beginning number on block assignment sheet.
6.	Stamp same beginning number on the right top and end of the estimate envelope 1952.
7.	Date stamp estimate envelope in "Remit Date" space with date of work.
8.	Write your initials in the upper left-hand corner of estimate envelope.
9.	Set indicator lever on bates numbering machine to "Duplicate."
10.	Number estimate and remittance as indicated in document number placement.
11.	Continue numbering until last two digits are 99, or a short block.
12.	Bundle checks together with size 18 rubber bands.
13.	Bundle estimates together with size 18 rubber bands.
14.	Place checks on top of estimates.
15.	Place estimate envelope on top of checks and band envelope, checks, and estimates together with size 18 rubber bands.
16.	Fill in document count space on envelope with item count, usually 100; Short block the item count if less than 100 documents.
17.	Batch will be routed out and released to Truck Control by designated employee.

ESTIMATE NUMBERING (CONT.)

Note:

While numbering estimates, you should pull the following documents and checks if they are not completed properly:

Documents must have:

- At least one SSN.
- First name or initial.
- Last name.
- Tax year in the upper left-hand corner.
- Form type 540ES – upper right corner.
- The amount shown or posted matches the amount on the check.

NUMBERING DOCUMENTS FROM OSCAR/ISCAR

INTRODUCTION:

Occasionally a person from the OSCAR/ISCAR Unit will bring documents and checks to be numbered.

PROCEDURES

STEP	PROCEDURE
1.	Turn to next DLN in block number book and enter DLN on block assignment sheet. Note: There are separate block number books for OSCAR and ISCAR.
2.	Set indicator lever on bates numbering machine to "Repeat."
3.	Enter in block number book: <ul style="list-style-type: none">• Current date in "Date Numbered" box located to the left of the DLN number taken.• Your initials in "Numbered By" box.• Stamp beginning number in the "Stamp first DLN of each Block Box."• After numbering, enter total item count for the block number in the item count box.
4.	Set numbers on bates numbering machine to correspond with DLN in block number record book.
5.	Ink pad on bates numbering machine with proper ink color. Re-ink when numbers begin to fade.
6.	Complete folder information as required.
7.	OSCAR/ISCAR will have one document per folder.
8.	Give finished block to person from OSCAR/ISCAR Unit.
9.	OSCAR/ISCAR representative will take block to Truck Control.
10.	OSCAR/ISCAR representative will take block to cashiering.

NUMBERING CASH SLIPS

INTRODUCTION:

When a taxpayer makes a payment in cash usually at a Field Office, special procedures are followed. A yellow/white cash receipt (FTB 6355) is sent in along with a white register (FTB 6361) to us from the Field Office. There can be more than one yellow cash receipt with each white register. Sorts or PIT Misc. will make up a pink cash slip (FTB 6708) in place of a check.

ASSEMBLY:

Assemble block of remittance with cash slip in this order:

- All white cash register with white/yellow receipts stapled together.
- Pink cash slips and any corresponding checks.
- Multiple documents and multiple checks.
- All other single checks in block.

EXCEPTION:

Staple white cash register on top of white/yellow cash receipt.

There should be a white/yellow receipt for every amount with a blue check (✓) on white cash register.

NUMBERING ORDER:

- Cash slips.
- Multiple documents and multiple checks.
- All other single remittances.

PROCEDURES

IF YOU HAVE	THEN
One yellow/white cash receipt with one white register	Number document, white register, yellow/white cash receipt, and pink cash slip with the same DLN.
More than one yellow/white cash receipt with one white register	Number each document, and corresponding yellow/white cash receipt and pink cash slip, with consecutive DLNs. Number white register with the first document's DLN and the last document's DLN.

Note:

Use the series guide for series information.

NUMBERING MULTIPLES

INTRODUCTION:

Special procedures need to be followed to number multiple documents or checks.

RULE:

Cashiering cannot process more than 150 checks and/or cash slips per batch. No more than five multiple documents or multiple checks can be placed in one batch. When necessary, you can number a whole batch with multiples, as long as it does not exceed 150 checks and/or cash slips.

PROCEDURES

IF YOU HAVE	THEN
One T/P document and multiple remittances.	The document and all remittances are stamped with the same number.
One remittance and multiple documents.	The documents are numbered with consecutive numbers and the remittance is stamped with the number of the first and last document.
Multiple documents and multiple remittances.	The documents are numbered with consecutive numbers and each remittance is stamped with the number of the first and last document.
One document with more than one T/P listed and multiple remittances.	Must be separated and posted by PIT Misc. or PIT Video. Each check receives first and last DLN.
One check with five or more postings on one document.	Item count must be written in the left-hand margin next to the Name Control. The document is numbered with the first and last DLN on the document.

ORDER OF DOCUMENTS:

- Cash Slips.
- Highlighted Multiple Posting.
- Multiple Docs.
- Multiple Checks.

Note:

Usually there should not be more than five cash slips, multiple documents, or multiple checks, but you can put more than five of each in a batch as long as it does not go over 150 checks.

SPLIT BATCHES

INTRODUCTION:

A split batch occurs when one check is received with more than 100 documents or posting. One batch can only hold 100 documents; otherwise posting the batch must be split into two or more batches.

RULE:

Documents are split by the Misc., Video, and Nontax Units into 100 and/or less and are posted. Documents must have a white register slip attached.

PROCEDURES

STEP	PROCEDURE
1.	Assign a DLN to the first batch.
2.	Itemize highlighted amounts on each page.
3.	Number first and last DLN of each page.
4.	Assign a different DLN to the second batch.
5.	Number first and last DLN of each page in the second batch.
6.	Number check with first DLN of the first batch and last DLN of the last batch.
7.	Number same check with last DLN of the second batch. Example: <ul style="list-style-type: none"> Batch one includes 3200000 to 320000099 Batch two includes 3200001 to 320000154. Check will be stamped 3200000 and 320000154.
8.	Fill in item count on batch folder and in book, FTB 1940.
9.	Indicate split batch on folder.
10.	Cross reference both DLNs in book by writing "Split Batch" by both DLNs.
11.	Clip both batches together with check and white registers attached in the front. Route to Truck Control.
12.	Routing person will take batches to Truck Control to be released.

Note:

Use the series guide for series information.

SHORT-OUT DAY

INTRODUCTION:

Short-out day is every Friday; we number everything in the bins and on the PIT and B&C trucks.

BANK TIMES:

NONTAX, PIT, and B&C - 6:30 a.m. - 11:00 a.m.

- The Numbering Unit should have all nontax, PIT, and B&C to Truck Control by 10:45 a.m. to be ready and released to ICBS for cashiering before 11:00 a.m.

PUC - 6:30 a.m. - 1:00 p.m.

- The Numbering Unit should have PUC to Truck Control by 12:45 p.m. to be ready and released to ICBS before 1:00 p.m.

BANKRUPTCY - Noon - 2:00 p.m.

- The Numbering Unit should have bankruptcy to Truck Control to be released before 2:00 p.m.

RECEIPT OF PAYMENT

INTRODUCTION:

When a taxpayer asks for a receipt for taxes paid, Sorts or PIT Video Units will fill in the appropriate information and place the receipt (FTB 6351 & FTB 4733) behind the check.

PROCEDURES

STEP	PROCEDURE
1.	Stamp the DLN of the document on the "Document Number" line of the receipts. Make sure the DLNs are on the: <ul style="list-style-type: none">• Form.• Check.• Receipts.
2.	Put receipts in separate pile. Rubber band together, give to lead or supervisor to route to PIT Misc. or PIT Video Units.

TIMELY/DELINQUENT RETURN PROCESSING FOR PIT

INTRODUCTION:

In April, we start processing timely and delinquent returns separately. ****. Timely and delinquent returns **must** be kept on separate trucks and not mixed until after ICBS cut-off date of May 30 for processing all timely returns.

PROCEDURES

STEP	PROCEDURE
1.	Incoming delinquent returns must be palletized separate from timely returns in Truck Control.
2.	Each pallet should be posted as timely or delinquent.
3.	Check all dates before assigning or releasing trucks.
4.	Each delinquent return truck will have a red collar marked delinquent over the truck number.
5.	Write delinquent or timely for each truck in the comment column in truck control book.
6.	Keep a designated area posted for the release of delinquent or timely trucks.

SIX-POINT CHECK SCAN

SIX-POINT SCAN:

PAYEE

- See acceptable list of payees.
- If blank – take to supervisor or designated employee to guarantee payee.
- If cash – take to supervisor (refer to Extractions cash procedures).

WRITTEN AND NUMERIC AMOUNTS

- Must match.
- Must be legible.

QUALIFY AMOUNTS

- Printed conditions must be honored.
- Check may not exceed ****.
- Check may not be written for less than ****.
- If check does not meet conditions, take to supervisor for guarantee stamp.

SIGNATURE

- Checks must be signed.
- Some joint accounts require two signatures.
- Bank issued checks require an authorized signature and must have one.

If previous encoding is present, route the check to Miscellaneous Unit.

If there is a bank cancellation stamp on back of check, route to Miscellaneous Unit.

Note:

Identifying information written on check by taxpayer does not affect the check and may be helpful in the processing.

ACCEPTABLE PAYEES

ACCEPTABLE PAYEES:

Payee must be correct, legible, and cannot be altered. If there are alterations to the payee name, it should be initialed by the payer.

The following are examples of acceptable payees (Except PUC):

- California Franchise Tax.
- California Franchise Tax Board.
- California Income Tax.
- California Tax.
- FTB.
- Franchise Tax.
- Franchise Tax Board.
- Franchise Tax Commission.
- Income Tax.
- Individual Income Tax.
- State Income Tax.
- State of California.
- State Tax.
- State Income Refund Division.
- State Treasurer.
- Tax Board.
- Taxes.

The following are acceptable payees for Estimate payments only:

- 540 Estimate Unit.
- 540 ES.
- 541 ES.

If you are not sure the payee name is valid, contact a Cashiering Coordinator, Balancing, or Encoding supervisor.

ACCEPTABLE PAYEES (CONT.)

ADDITIONAL ACCEPTABLE PAYEES:

The following payees may be found in several different workloads.

Guarantee check with the correct stamp.

"Franchise Tax Board" or "C.O.D." depend on what workload the check belongs to.

For Court Order Debt checks that have a different payee that is not "C.O.D." or "F.T.B" guarantee with Court Ordered Debt stamps, ask a lead.

- Payco-American Gen. Fin.
- American Gen. – FTB.
- Administrative Unit.
- Collection Unit.
- Contract Unit.
- Court Trustee.

CHECK PERFECTION

INTRODUCTION:

Checks must be scanned before a return or document can be processed. To make sure that FTB can cash a check, it must meet the conditions of the six-point scan. If the check does not meet the conditions, take it to an authorized employee to be guaranteed.

RULE:

We cannot accept U.S. Savings Bonds as payment.

Note:

If the check is not made out to Franchise Tax Board but the written and numeric amounts match, the check can be guaranteed with the "FRANCHISE TAX BOARD" stamp. Checks cannot be guaranteed more than two times.

CHECK CORRECTION

INTRODUCTION:

Only trained employees correct checks or return the checks to taxpayers.

RULE:

Use a red pen for check corrections. A check can only be guaranteed once. If check needs more than one guarantee, give it to the supervisor. Supervisor will then determine if we can guarantee the check or send it back.

PROCEDURES

STEP	PROCEDURE
1.	<p>If payee is IRS or another State Agency and accompanied by FTB return and balance due line/paid amount match.</p> <ul style="list-style-type: none"> Stamp back of check, See below. Initial in red pen. <p>If payee is "T/P and FTB" or "T/P" only and in payment of a garnishment, accept and use endorsement stamp as above.</p> <p>If payee line is blank and balance due line and paid amount match, stamp payee line with FTB stamp. See below.</p> <p>BACK OF CHECK ON THE PAYEE LINE</p> <p>If payee is totally unacceptable or payee does not meet the above criteria, route to PIT Misc. to send back.</p>
2.	<p>Money orders cannot be guaranteed.</p> <p>The rule is if one of two amounts matches the document, the check can be guaranteed using the guarantee stamp. (For money orders, see above.)</p>
3.	<p>Printed condition on check must be honored. If amount more or less than specified (e.g., must be over ****), see supervisor.</p>
4.	<p>Unsigned checks may be accepted only if the amount on the check matches the amount on the document.</p> <p>If accepted, the face of the check will be stamped on signature line with the "Signature Lacking" stamp.</p> <ul style="list-style-type: none"> If questionable and it appears that the check belongs to FTB, but no amount information on return matches check amount, send to Video Unit for verification. If check requires two signatures and only one is present, route to Misc. send backs. If both numerical and written amount do not agree and check has no signature, give to supervisor.

CHECK CORRECTION (CONT.)

PROCEDURES (CONT.)

Note:

This procedure does not apply to unsigned money orders; they are viewed as cash. If a money order specifically requires an authorized signature and one is lacking, route to PIT Misc. send backs.

Examples for Guarantee Stamps:

1. Amount Guaranteed

Amount guaranteed
to be \$_____
Franchise Tax Board
by_____

2. No Signature

Signature lacking
guaranteed by
Franchise Tax Board

DAMAGED CHECKS

SPECIAL PROCEDURE:

Damaged checks are acceptable if they meet the following criteria:

- Encoding on check must be intact.
- Amounts legible or sufficient amount of information to guarantee check.
- SSN and/or Name on check or document is legible.

SSN	Illegible	Route to Video Unit
NAME	Illegible	Route to Video Unit
AMOUNTS	Illegible/missing	Route to Pit Misc Unit
ENCODING	Illegible/missing	Route to Pit Misc Unit

Note:

If check is badly damaged but has all the information intact, place in special cashier's "Carrier Envelope."

REMIT DOCUMENTS/RETURNS PROCESSED IN WRONG SERIES

INTRODUCTION:

If a document or return for PIT/B&C is processed in the wrong series and the checks have gone to the bank, the DLNs on the checks cannot be changed. If this occurs, follow the procedures below to correct the problem.

PROCEDURES

STEP	PROCEDURE
1A.	For PIT, log in error memo book the correct DLN and the one used in error, the amount on the documents/returns, and the item count. Write the reason for the change.
1B.	For PIT and B&C you will make two copies of the logbook page, route one to Cashier supervisor and one to Fiscal Control.

Re-number the documents/returns with the correct DLN. Hand carry the batch/block to Truck Control and then to the cashiering supervisor. Inform the cashiering supervisor that this block/batch has been re-numbered.

BANK AND CORPORATION LABELING

INTRODUCTION:

All returns and remit documents must be labeled with a unique DLN. Some blocks can be labeled from 00 to 99 in the series assigned. A block may contain up to 100 items. A block cannot be thicker than four inches.

Corporation returns with remittance(s) are placed inside the brown folder. Checks are placed on top of the returns.

REMIT NUMBERING:

Each check receives the same DLN as the return. If one check covers several items, each item will be posted and assigned a separate DLN. The check will be labeled with the first and last DLN that covers all the items that apply to the check.

RULE:

Cash remittance must be labeled first to make bank by 11:00 a.m.

BANK AND CORPORATION LABELING REMIT RETURNS

INTRODUCTION:

Remit returns are labeled with the DLN in the upper right-hand corner on the assigned area (shown on page 65). The checks are labeled with the DLN in the upper right corner.

COVER SHEET PREPARATION

STEP	PROCEDURE
1.	Use an FTB 6107 green cover sheet. Check the form and check the remittance box located in upper right corner. Check current, previous, or prior box.
2.	Stamp the date of mail/remit date in the "DATE" box in the "RETURNS KEYED" section. Write this date on the DLN book as well.
3.	Fill in date and initials under "Section Processing, #1 Receiving," on green control sheet.

LABELING PROCEDURES

STEP	PROCEDURE
1.	Use 8-digit PUC machine. Set bates numbering machine on "Repeat."
2.	Get block number and labels on DLN record book.
3.	Set bates numbering machine to stamp the assigned DLN starting at 00.
4.	Stamp first DLN on the line that reads "return no. _____ to _____ on green control sheet FTB 6107. Stamp on DLN record book and truck sheet as well.
5.	Label the return and the corresponding check with consecutive DLNs. Labels are located in DLN book.
6.	Review numbered returns and checks.
7.	Separate checks from returns and make a neat pile, bundle with size 18 rubber band.
8.	Stamp the last DLN used on the line that reads "Return No. _____ To _____" on green control sheet. Write the item count on the book and truck sheet.
9.	Place green control sheet on the front of the stack of returns. Use three size 33 rubber bands to secure the returns.
10.	Place the stack of checks on top of the returns under the rubber bands.
11.	Take the batch or the pick-up person will route to Truck Control to be keyed and released for cashiering.

LIMITED LIABILITY COMPANY (LLC) LABELING REMIT RETURNS

COVER SHEET PREPARATION

STEP	PROCEDURE
1.	Use an FTB 6107B lavender cover sheet. Check the form (568), and check the remittance box located in upper right corner. Check current, previous, or prior box.
2.	Stamp the date of mail/remit date on the "DATE" box under section "RETURNS KEYED". Write this date on the DLN book as well.
3.	Fill in date and initials under "Section Processing, #1 Receiving," on lavender control sheet.

LABELING PROCEDURES

STEP	PROCEDURE
1.	Use an 8-digit bates numbering machine and stamp first available DLN from the 568 LLC remit block number record book.
2.	Get block number and labels on DLN book.
3.	Set bates numbering machine to stamp the assigned DLN starting at 00.
4.	Stamp first DLN on the line that reads "Return No. ____ To ____" on the lavender control sheet FTB 6107B, DLN book, and truck sheet, respectively.
5.	Label the DLN on the return and on the corresponding check with consecutive DLNs.
6.	Review numbered returns and checks.
7.	Separate check(s) from return and make a neat pile, bundle with size 18 rubber bands.
8.	Stamp the last DLN used on the line that reads "return no. ____ to ____" on both pages of lavender control sheet. Write the item count on the book and truck sheet.
9.	Place lavender control sheet on front of stack of returns. Use three size 33 rubber bands to secure the returns.
10.	Place the stack of checks on top of the returns under the rubber bands.
11.	Take the batch or the pick-up person will route to Truck Control to be keyed and released for cashiering.

BANK AND CORPORATION NUMBERING REMIT DOCUMENTS

INTRODUCTION:

All documents except estimates, short docs, and extensions are letter size and are placed in manila folder FTB 1941. Documents are stamped with the DLN in the upper right corner. Checks are also stamped with the DLN in the upper right corner.

FOLDER PREPARATION

STEP	PROCEDURE
1.	Write type of documents you are numbering with felt pen across the bottom of the folder.
2.	Make a circle above the type of documents.
3.	Write "# ____" on right side of folder for DLN.
4.	Write your assigned number on the folder, in the lower left-hand corner.

<h1>L.O.G.S.</h1>	<div><div>□ #</div><div>L.O.G.S.</div></div>
-------------------	--

BANK AND CORPORATION NUMBERING REMIT DOCUMENTS (CONT.)

NUMBERING REMIT DOCUMENTS

STEP	PROCEDURE
1.	Set bates numbering machine on "Repeat."
2.	Set bates numbering machine to stamp the assigned DLN starting at 00.
3.	Stamp the first DLN on the manila folder where it says "#____" for DLN.
4.	Set bates numbering machine on "Duplicate."
5.	Stamp the DLN on the document and on the corresponding check.
6.	Turn documents and checks face down in separate stacks.
7.	Number documents and checks with consecutive DLNs until you complete the block.
8.	Review numbered documents and checks.
9.	Write number of documents on the block in a circle on manila folder.
10.	Place documents in manila folder and place one size 33 rubber band around them.
11.	Bundle checks with size 18 rubber band and place on top of the folder under rubber band.
12.	Take completed batch to Truck Control to be keyed and released to cashiering.

BUSINESS ENTITIES TAX SYSTEM (BETS)

INTRODUCTION:

To properly identify payments and ensure correct application, various subsystems from the BETS system are utilized. BETS was designed to capture, update, and store Business Entity Tax Information.

BETS replaces the Bank and Corporation System and the Partnership System. BETS has grouped job functions into categories. These categories are called subsystems. There are currently nine subsystems in BETS. These subsystems are:

- ****
- ****
- ****
- ****
- ****
- ****
- ****
- ****
- ****

Note:

If you have any questions regarding BETS, contact BETS help desk at ****.

BETS FOLDER PREPARATION

		<div>ITEM COUNT</div>
		ID #
MISC. BETS		DLN _____

BANK AND CORPORATION NUMBERING “LETTER OF GOOD STANDING” (LOGS)

Note:

Number LOGS as singles, not multiples.

PROCEDURES

STEP	PROCEDURE
1.	Use a 7-digit PUC machine. Set bates numbering machines on “Repeat.”
2.	Set PUC machine to stamp the assigned DLN starting at 00.
3.	Staple LOGS identification sheet to manila folder.
4.	On side of manila folder, write characters in felt pen.
5.	Stamp the first DLN on the LOGS identification sheet where it says batch number. Stamp the first DLN on the manila folder where it says “#___” for DLN.
6.	With a felt pen, write in the date the work is being stamped next to the “date” block.
7.	Set bates numbering machine on “Duplicate.”
8.	Stamp the DLN on the document and checks.
9.	Turn documents and checks face down in separate stacks.
10.	Number documents and checks with consecutive DLNs until you complete the block.
11.	Write number of documents on the LOGS identification sheet next to item count.
12.	Bundle checks with size 18 rubber bands.
13.	Place documents in manila folder and use a size 33 rubber band to wrap the folder.
14.	Place banded checks on top of the manila folder underneath the rubber band.

L.O.G.S.	<input type="checkbox"/> # _____ L.O.G.S.
-----------------	---

NUMBERING 565 RETURNS

INTRODUCTION:

Partnership returns arrive in Numbering Unit from Sorts Unit, and with few exceptions, they are processed the same as other returns. 565 returns are sorted to remit and nonremit series.

IF RETURN IS	THEN
565 REMIT	Assign remit series DLN (current years are 694 and previous/prior years are 794) following normal numbering procedures.
565 NONREMIT	Assign nonremit series DLN (current years are 734 and previous/prior years are 804) following normal numbering procedures.


Note:

Microfiche may come with a 565 return. Keep it with the return and process.

NUMBERING PROCEDURE FOR REMIT 565 RETURN

INTRODUCTION:

565 remit returns are labeled with the DLN in the upper right-hand corner in the example below. The checks are labeled with the DLN in the upper right corner.

TAXABLE YEAR		 08 694209 13		CALIFORNIA FORM
2007		Partnership Return of Income		565
For calendar year 2007 or fiscal year beginning month _____ day _____ year _____, and ending month _____ day _____ year _____.				
A Principal business activity name (same as federal)	Partnership name (place label within block or type or print)		Check box if name changed <input type="checkbox"/>	
B Principal product or service (same as federal)	DBA		D FEIN	
C Principal business activity code (same as federal)	Address (including suite, room, PO Box, and PNB no.)		E Date business started in California	
	City	State	ZIP Code	F Enter total assets at end of year. See instructions.
	H Secretary of State (SOS) file number		I Check applicable box	
G Check accounting method:				
<input checked="" type="radio"/> (1) Cash <input type="radio"/> (2) Accrual <input type="radio"/> (3) Other (attach explanation)		<input type="radio"/> (1) Initial return <input type="radio"/> (2) FINAL RETURN <input type="radio"/> (3) Amended return		
Caution: Include only trade or business income and expenses on line 1a through line 22 below. See the instructions for more information.				

COVER SHEET PREPARATION

STEP	PROCEDURE
1.	Use an FTB 6107C blue cover sheet. Check the form and the remittance box located in the right corner. Check current, previous, or prior box.
2.	Stamp the date of mail (received date) in the "DATE" box in the "RETURNS KEYED" section. Write this date on the DLN book as well.

NUMBERING PROCEDURE FOR REMIT 565 RETURN (CONT.)

PROCEDURES

STEP	PROCEDURE
1.	Use an 8-digit PUC machine. Set bates numbering machine on "Repeat."
2.	Get block number and labels from DLN book.
3.	Set bates numbering machine to stamp the assigned DLN starting at 00.
4.	Stamp first DLN on the line that reads "Return No. _____ To _____" on blue control sheet FTB 6107C.
5.	Label the return and the corresponding check with consecutive DLNs. Labels are located in DLN book.
6.	Review numbered returns and checks.
7.	Separate check(s) from returns and make a neat pile; bundle with size 18 rubber band.
8.	Stamp last DLN on the line that reads "Return No. _____ To _____" on blue control sheet FTB 6107C. Write the item count on the book and truck sheet.
9.	Place blue control sheet on front of stack of returns. Use three size 33 rubber bands to secure the returns.
10.	Place the stack of checks on top of the returns under the rubber bands.
11.	Take the batch or the pick-up person will route to Truck Control to key and release for cashiering.

NUMBERING PROCEDURE FOR NONREMIT 565 RETURN

COVER SHEET PREPARATION

STEP	PROCEDURE
1.	Use an FTB 6107C blue cover sheet. Check the form and the non-remittance box located in the right corner. Check current, previous, or prior box.
2.	Stamp the date of mail (received date) in the "DATE" box in the "RETURNS KEYED" section. Write this date in the DLN book.
3.	Fill in date and initials under "Section Processing, #1 Receiving" on blue control sheet.

PROCEDURE

STEP	PROCEDURE
1.	Set bates numbering machine on "Repeat."
2.	Get block number and labels from DLN book.
3.	Set bates numbering machine to stamp the assigned DLN starting at 00.
4.	Stamp first DLN on the line that reads "Return No. _____ To _____" on blue control sheet FTB 6107C or yellow sheet.
5.	Label the DLN in the upper right-hand corner of the return. Numberers should quality review as they number the returns.
6.	Label consecutively until the last return in the block is reached. Block should be no bigger than 4 inches.
7.	Stamp last DLN used on the line that reads "Return No. _____ To _____" on the control sheet. Write the item count on the DLN book and truck sheet.
8.	Place two size 33 rubber bands around the batch, one horizontally and one vertically.
9.	Load batches in numerical order on trucks.
10.	Oversized return batches should be the last numbers used on each truck, and placed on top of the truck.
11.	Release complete trucks to Work Control.

NUMBERING BIG 565 RETURNS

PROCEDURE

STEP	PROCEDURE
1.	Prepare blue control sheet (FTB 6107C). After completing the cover sheet, you are ready to number. Check the non-remittance box located in the right corner on the FTB 6107C form. Check current, previous, or prior box.
2.	Obtain DLN # and label from DLN record book. Put the label on the front page of the return in the upper right corner.
3.	Use PUC bates machine and stamp all the K1s that belong to the Partnership 565 return with the same DLN number that is on the label.


Note:

Use only one blue control sheet per partnership when numbering "Big 565 returns."


BARCODE LABEL PLACEMENT FOR BE RETURNS

The barcode label placed on a Business Entity (BE) return tracks the location through the pipeline. It also ensures integrity between the returns, in addition to reducing keystrokes when it is keyed by the Key Data Operators (KDO) in ICBS, and is essential to Scan & Shred. After the returns are keyed, they are ready for scanning. When the returns are sent through the scanner, it reads the information from the returns in addition to reading the barcode. When the scanner is unable to read the barcode label, the DLN is unidentified and has to be manually identified later, creating a delay. To enable the scanner to read the barcode label, the labels should always be placed on the top of the return as follows:


Bank and Corporation

TAXABLE YEAR 2007		California Corporation		 07 123456 00		FORM	
2007		Franchise or Income Tax Return				100	
For calendar year 2007 or fiscal year beginning month _____ day _____ year _____, and ending month _____ day _____ year _____.							
California corporation number		FEIN		Check if corporation has: Refund on line 41		<input type="checkbox"/>	
				or Amount due on line 43		<input type="checkbox"/>	
Corporation name							
Address (including suite, room, or PMB no.)							
City		State			ZIP Code		

Partnerships

TAXABLE YEAR		 07 123456 00		CALIFORNIA FORM	
2007		Partnership Return of Income		565	
For calendar year 2007 or fiscal year beginning month _____ day _____ year _____, and ending month _____ day _____ year _____.					
A Principal business activity name (same as federal)		Partnership name (place label within block or type or print)		Check box if name changed <input type="checkbox"/>	
		DBA		D FEIN	
B Principal product or service (same as federal)		Address (including suite, room, PO Box, and PMB no.)		E Date business started in California	
C Principal business activity code (same as federal)		City		F Enter total assets at end of year. See instructions.	
		State		G \$	
		ZIP Code		H Check applicable box	
				(1) <input type="checkbox"/> Initial return	

Limited Liability Companies

TAXABLE YEAR		 07 123456 00		CALIFORNIA FORM	
2007		Limited Liability Company Return of Income		568	
For calendar year 2007 or fiscal year beginning month _____ day _____ year _____, and ending month _____ day _____ year _____.					
A Principal business activity name (same as federal)		Limited liability company name (type or print)		D Secretary of State file number	
		DBA		E Date business started in California	
B Principal product or service (same as federal)		Address (including suite, room, PO Box, or PMB no.)		F Enter total assets at end of year. See instructions.	
C Principal business activity code (same as federal)		City		G \$	
		State		H Check applicable box	
		ZIP Code		(1) <input type="checkbox"/> Initial return	

BANK AND CORPORATION NONREMIT LABELING

INTRODUCTION:

Each nonremit return is given a DLN according to the series it is in.

RULE:

For all nonremit returns, use the green color control sheet FTB 6107. For all refunds, use the goldenrod color control sheet FTB 6107A.

COVER SHEET PREPARATION

STEP	PROCEDURE
1.	Use an FTB 6107 or FTB 6107A coversheet. Check the form type, year, and nonremit box located on the right part of the form.
2.	Stamp the date of mail (received date) in the "DATE" box in the "RETURNS KEYED" section. Write this date on the DLN book.
3.	Fill in date and initials under "#1 Receiving" on the green/goldenrod control sheet.

PROCEDURE

STEP	PROCEDURE
1.	Set bates numbering machine on "Repeat."
2.	Set bates numbering machine to stamp the assigned DLN starting at 00.
3.	Stamp first DLN on the line that reads "Return No. _____ To _____" on the green or goldenrod control sheet. Stamp DLN on book and truck sheet.
4.	Label the DLN in the upper right-hand corner of the return on the assigned area. Numberers should quality review as they number the returns. Example shown on page 65.
5.	Label consecutively until you reach the last return in the block. Block should be no bigger than four inches.
6.	Stamp last DLN used on the line that reads "Return No. _____ To _____" on the control sheet. Write the item count on the DLN book and truck sheet.
7.	Bundle with two size 33 rubber bands around the batch, one horizontally and one vertically.
8.	Load batches in numerical order on trucks.
9.	Oversized batches will be assigned the last DLN numbers on the Truck Control log and placed on top of the truck.
10.	Release complete trucks to Work Control.

Note:

If more than one series on a physical truck, place a green card between the split series.

568 LLC – NONREMIT

COVER SHEET PREPARATION

STEP	PROCEDURE
1.	Use an FTB 6107B lavender cover sheet. Check the form type (568), year, and nonremit box located on the upper part of the form.
2.	Stamp the date of mail (received date) in the "DATE" box in the "RETURNS KEYED" section. Write this date in the DLN book.
3.	Fill in date and initials under "#1 Receiving" on the lavender control sheet.

LABELING PROCEDURES

STEP	PROCEDURE
1.	Use an 8-digit bates numbering machine and stamp first available DLN from the 568 LLC nonremit block number record book.
2.	Set bates numbering machine to stamp the assigned DLN starting at 00.
3.	Stamp first DLN on the line that reads "Return No. ____ To ____" on the lavender control sheet. Stamp on DLN book and truck sheet.
4.	Label the DLN in the upper right-hand corner of the return on the assigned area shown on page 64.
5.	Label consecutively until you reach the last return in the block. Block should be no bigger than four inches.
6.	Stamp the last DLN used on the line that reads "Return No. ____ To ____" on the control sheet. Write item count on DLN book and truck sheet.
7.	Bundle with two size 33 rubber bands around the batch, one horizontally and one vertically.
8.	Load batches in numeric order on trucks.
9.	Oversized batches will be assigned the last DLN numbers on the Truck Control log and placed on top of the truck.
10.	Release completed truck to Work Control.

SPECIAL HANDLING FOR BANK AND CORPORATION RETURNS/DOCUMENTS

INTRODUCTION:

Occasionally, returns are brought to Numbering Unit to be hand walked (Walk-thru) through the pipeline. This is usually done by Audit or Legal to expedite processing of a special case. A Walk Thru batch should be released the same day Numbering Unit receives it with the exception of "Tax Clearance," which is released every Friday.

PROCEDURES

STEP	PROCEDURE
1.	Returns must be batched separately. Truck Control will assign a truck number to the batch. This truck number will not be used for any other batches.
2.	Complete form FTB 6110.
3.	Enter requester's name.
4.	Label return(s) in appropriate series using normal procedures.
5.	Enter Walk Thru/Taxpayer's Last Name in DLN book next to DLN used.

Note:

The Numbering Unit will label all remit and nonremit documents and returns with the exception of 565 nonremit returns. Truck Control will number all nonremit 565 Walk-thrus.

WALK THRU STAMP EXAMPLE

WALK THRU

SPECIAL HANDLING FOR BANK AND CORPORATION RETURNS/DOCUMENTS (CONT.)

INTRODUCTION:

Disaster returns are hand carried from the Sorts Unit to Truck Control. Disaster returns are batched separately and given priority over other returns to expedite processing.

PROCEDURES

STEP	PROCEDURE
1.	Assign DLN from DLN logbook or truck sheet.
2.	Label return(s) in appropriate series using normal procedures. On the folder, stamp Walk Thru on cover sheet.

Note:

The Numbering Unit will label all remit documents and returns. Truck Control will number all nonremit documents and returns.

BIG MONEY CALLS FROM DISTRICT OFFICE

INTRODUCTION:

District offices will call the Numbering Unit for a DLN to use when they receive "BIG MONEY." The big money is deposited by the District office to maximize interest. The numbered return or document accompanied by a cash receipt will be sent to Central Office for processing. The document and cash receipt usually arrive in Receiving, Numbering Unit, within three days. The assigned DLN will be hand written on the return or document and the cash receipt.

Note:

Big Money is generally considered to be **** for in-state district offices and **** for out-of-state district offices. However, in order to provide better public service, the offices will often call with small amounts. We provide DLNs for any amount over ****.

PROCEDURES

STEP	PROCEDURE
1.	<p>Fill out a "Branch Office Large Deposit Received Via Telephone" form for each big money return with the following information:</p> <ul style="list-style-type: none">• District office.• Date.• Name of caller.• Phone number of caller.• Name of taxpayer or name of corporation.• SSN or Corporation Number.• Payment type.<ul style="list-style-type: none">A. Check appropriate box personal income tax or bank and corporation.• Amount of deposit.• Assign last DLN in book.• Assigned by you (write your name).

Note:

It is essential that the District Office representative be questioned thoroughly to ensure the document is given the correct DLN.

If you get a call requesting DLNs for electronic filed payments, refer the caller to the Electronic Documents helpline at ****.

BIG MONEY CALLS FROM DISTRICT OFFICE (CONT.)

PROCEDURES (CONT.)

STEP	PROCEDURE
2.	From the above information, determine series of document.
3.	Take an unused DLN from the series book. <ul style="list-style-type: none"> • Usually the last number on the following page. • Assign a DLN for each big money document. • Write "Used and Date" in DLN column.
4.	After giving the DLN to the district office, note the following information in the DLN record book in the lower margin. <ul style="list-style-type: none"> • District office. • Name of caller and phone number. • Taxpayer name and SSN or name of corporation and corp number. • Amount of deposit. • DLN assigned. • Route big money call slip to district mail desk.

Note:

Big money calls are received between 8:00 a.m. – 3:00 p.m. We are available until 5:00 p.m. for quarterly payments.

INFORMATION SHEET FOR LARGE DEPOSITS RECEIVED IN DISTRICT OFFICE

DISTRICT OFFICE _____ DATE _____

NAME OF CALLER _____ PHONE NO. _____

NAME OF TAXPAYER _____ SSN _____

NAME OF CORPORATION _____ CORP. NO. _____

PAYMENT TYPE (check program and payment type)

☐ PERSONAL INCOME TAX

☐ BANK AND CORPORATION

☐ RETURN CURRENT YEAR

☐ RETURN PREVIOUS YEAR

☐ RETURN PRIOR YEAR

☐ AMENDED RETURN

☐ ESTIMATE

☐ NPA

☐

AMOUNT OF DEPOSIT _____ DLN ASSIGNED _____
ASSIGNED BY _____

PROCEDURES ON HOW TO NUMBER BIG MONEY CALLS

PROCEDURES

STEP	PROCEDURE
1.	Information sheet FTB 6619. Pink and white cash slips. Right document for the DLN series that was given.
2.	If DLN does not match document type, get correct DLN and call the district office with the correct DLN.

Note:

DLNs are given prior to receiving checks. Number big money calls as a split batch or multi. They usually come with a copy. Make a copy if there is not one attached. Send to **** at Mail Stop L-210.

COD – COURT ORDERED DEBT COLLECTION

INTRODUCTION:

Demand of Payment – Court Ordered Debt Collection.

FOLDER PREPARATION:

- COD cover sheet.
- FTB 1941 blank manila folder.
- HRA/PUC 7-digits bates numbering machine.
- Current ink color.

PROCEDURES

STEP	PROCEDURE
1.	Staple COD cover sheet to FTB 1941 folder. Leave at least one-inch margin on the right open side of folder.
2.	On the folder in the upper right margin, draw a 2" box with a large felt pen. This box is designated for the item count.
3.	Write COD on the right-hand margin in the center of the folder.
4.	Draw a line in the lower right-hand margin designated for the DLN.
5.	Date header sheet with corresponding form dates. Stamp "Mixed Dates" if it is a mixed date batch.

SHORT DOCS EXAMPLE

BATCH CONTROL SHEET					
BATCH NUMBER _____ ITEM COUNT _____ INITIALS _____					
REC'D DATE _____ REMIT AMOUNT _____					
<h2 style="margin: 0;">C.O.D.</h2>					
CASHIERING: JOB STREAM #530.105 EC.8.2-DOCS(H) SECC.8.1-CHECKS(G) _____					
ENTRY: JOB STREAM #530-101 SEC.8.1					
TRUCK# _____ CMC# _____ WRITE _____ VERIFY _____					
ICBS- ITEMS REMOVED					
ITEM#	DATE	ITEM#	DATE	ITEM#	DATE

COD – COURT ORDERED DEBT COLLECTION (CONT.)

NUMBERING PROCEDURES

STEP	PROCEDURE
1.	Set HRA/PUC bates numbering machine to appropriate DLN range 700000. Obtain DLN from COD block number record book.
2.	Stamp DLN on cover sheet and FTB 1941 folder designated line. *
3.	Date stamp remit date or mixed dates on COD cover sheet.
4.	Stamp corresponding DLN in upper right side of document and check. Begin with 00 ending with 99 for a total of 100 documents or short block. Note: Multiple documents should be in the front of the batch followed by multiple checks. No more than 110 checks per batch.
5.	Review numbered documents and checks.
6.	Separate checks from documents and build a neat pile and bundle with size 18 rubber band.
7.	Place numbered documents into folder. Write item count on folder and cover sheet and bundle with size 33 rubber band.
8.	Put the stack of checks on top of the folder under the rubber band.
9.	Take the batch or pick-up person will route to Truck Control to key and release to cashiering.

* COD batch cover sheet is blue.

Note:

The Nontax Unit will route COD and VRC to the Numbering Unit with checks on top of notices that are received through the mail. The Nontax Unit creates in-lieus for COD and VRC and routes to the Numbering Unit. The checks are clipped with a large binder clip and attached to the bottom of the in-lieus.

**COD – COURT ORDERED DEBT
COLLECTION (CONT.)**ITEM
COUNTID
#**C.O.D.**

DLN #

BATCH CONTROL SHEET

BATCH NUMBER _____

ITEM COUNT _____

REC'D DATE _____

INITIALS _____

REMIT AMOUNT _____

C.O.D.

CASHIERING: JOB STREAM # 530.105

SEC. 8.2-DOCS: (H)_____ SEC. 8.1-CHECKS(G)_____

ENTRY: JOB STREAM #530.101 SEC. 8.1

TRUCK#_____CMC#_____ WRITE_____ VERIFY_____

ICBS – ITEMS REMOVED

ITEM #	DATE	ITEM#	DATE	ITEM #	DATE

FTB7032A (NEW 12-2005)

VRC – VEHICLE REGISTRATION COLLECTIONS

PROCEDURES FOR LONG FORM

STEP	PROCEDURE
1.	Obtain DLN from block number record book. Write current date in book.
2.	Staple VRC cover sheet to FTB 1941 blank manila folder. *
3.	With folder opening upward, draw an item count box in the left upper margin.
4.	Indicate numberer ID to right of box.
5.	Write VRC, VRC BE, VRC-DC, or VRC (PC-DC).
6.	Draw horizontal line in upper right-hand margin.
7.	Stamp DLN on horizontal line, cover sheet, and in logbook. Use HRA/PUC machine.
8.	Set bates numbering machine to "Duplicate." Begin numbering both checks and documents with corresponding numbers. Consecutively number 00 through 99. All checks and documents must have the same DLN.
9.	Write item count in appropriate box and on cover sheet.
10.	Review numbered documents and checks. Separate checks and build a neat pile and bundle with size 18 rubber band.
11.	Place documents in folder banding them with size 33 rubber bands. Put the stack of checks under the rubber band.
12.	Take the batch or the pick-up person will route to Truck Control and release to cashiering.

* It is important to choose the correct cover sheet when numbering letter-size VRC.

* VRC batch cover sheet is dark green.

Note:

The Nontax Unit routes COD and VRC to the Numbering Unit with checks on top of notices that are received through the mail. The Nontax Unit creates in-lieus for the COD and VRC, then routes to the Numbering Unit. The checks are clipped with a large binder clip to the bottom of the in-lieus.

VRC – VEHICLE REGISTRATION COLLECTION (CONT.)

PROCEDURES FOR SHORT FORM

STEP	PROCEDURE
1.	Obtain DLN from logbook and write current date in block number record book.
2.	Stamp cover sheet with DLN.
3.	Begin numbering both documents and checks with corresponding numbers. Run consecutively 00 through 99.
4.	Indicate item count in appropriate space.
5.	Band checks with size 18 rubber bands.
6.	Secure checks, documents, and cover sheet with size 18 rubber bands.

Note:

Tape cover sheet to any short envelope.

SHORT DOCS EXAMPLE

BATCH CONTROL SHEET					
BATCH NUMBER _____		ITEM COUNT _____		INITIALS _____	
REC'D DATE _____			REMIT AMOUNT _____		
V.R.C.					
CASHIERING: JOB STREAM #520.105 EC.8.2-DOCS(H) SECC.8.1-CHECKS(G) _____					
ENTRY: JOB STREAM #520-101 SEC.8.1					
TRUCK# _____ CMC# _____ WRITE _____ VERIFY _____					
ICBS- ITEMS REMOVED					
ITEM#	DATE	ITEM#	DATE	ITEM#	DATE

**VRC – VEHICLE REGISTRATION
COLLECTION (CONT.)**ITEM
COUNTID
#**V.R.C.**

DLN #

BATCH CONTROL SHEET

BATCH NUMBER _____

ITEM COUNT _____

REC'D DATE _____

INITIALS _____

REMIT AMOUNT _____

V.R.C.

CASHIERING: JOB STREAM # 520.105

SEC. 8.2-DOCS: (H)_____ SEC. 8.1-CHECKS(G)_____

ENTRY: JOB STREAM #520.101 SEC. 8.1

TRUCK#_____CMC#_____ WRITE_____ VERIFY_____

ICBS – ITEMS REMOVED

ITEM #	DATE	ITEM#	DATE	ITEM #	DATE

FTB 7032G (NEW 12-2005)

VRC – VEHICLE REGISTRATION COLLECTION (CONT.)

VRC QUICKIE REFERENCE

BATCH	WHAT TO LOOK FOR	EXAMPLE	COVER SHEET
-------	------------------	---------	-------------

DELINQUENT	LICENSE PLATE NUMBER	*123ABC19981	VRC
		2ABC12319981	
		MY TOY**19981	

TIMELY	LICENSE PLATE NUMBER	3GH1678 (NO YR)	VRC
	CURRENT + R60 WILL BE		VRC
	HIGHLIGHTED		

TNPX – TAX NEWS/PACKAGE X

OVERVIEW:

The Numbering Unit receives perfected TNPX order forms FTB 3545 and FTB 3545A from the Miscellaneous Unit. Numbering assigns and stamps the form with a seven-digit DLN. After being numbered, it is sent to Truck Control. Truck Control inputs the DLNs, volumes, and dates received in the computer. Completed batches are routed to the appropriate area.

RULE:

Fill out the front of the folder and cover sheet as follows.

PROCEDURES

USE	FOR	STEP	PROCEDURE
FTB 1941 Blank Folder	FTB 3545 FTB 3545A	1.	Draw a backward L (┘) in the upper right corner of the folder.
		2.	Write the item count on the folder and the cover sheet. *
		3.	Print the document and write "TNPX" on the folder using a marker.
		4.	Stamp the beginning DLN on the batch number line on the cover sheet and on the folder in the lower right corner.
		5.	Stamp the date received on cover sheet.
		6.	Write your initials or id number under the item count box on the folder.

* TNPX cover sheet is purple.

TNPX – TAX NEWS/PACKAGE X (CONT.)

BATCH CONTROL SHEET						ITEM COUNT
BATCH NUMBER						T.N.P.X.
ITEM COUNT						
REC'D DATE						
INITIALS						
REMIT AMOUNT						
<div style="font-size: 60px; font-weight: bold; margin: 0;">T.N.P.X.</div> <div style="margin-top: 10px;"> CASHIERING: JOB STREAM # 800.105 SEC. 8.2 – DOCS : (H) __ SEC. 8.1 – CHECKS (G) __ </div> <div style="margin-top: 10px;"> ENTRY: JOB STREAM # 847.801 SEC.8.1 TRUCK # ____ CMC# ____ WRITE ____ VERIFY ____ </div>						DLN # _____
ICBS – ITEMS REMOVED						
ITEM #	DATE	ITEM#	DATE	ITEM #	DATE	
<small>FTB 7032J (NEW 12-2005)</small>						

TNPX – TAX NEWS/PACKAGE X (CONT.)**PROCEDURES**

STEP	PROCEDURE
1.	Get DLN from block number record book.
2.	Enter current date and initials or number in block number record book next to the DLN assigned.
3.	Set number on bates numbering machine to correspond with DLN assigned from book.
4.	Put ink on pad of bates numbering machine. Re-ink when numbers begin to fade.
5.	Set bates numbering machine to "Repeat."
6.	Stamp DLN number on block assignment sheet and block number record book.
7.	Re-set bates numbering machine to "Duplicate."
8.	Number documents and checks with corresponding numbers consecutively 00 through 99 or short batch.
9.	Review numbered documents and checks to see if they match.
10.	Separate checks from documents and make a neat pile, then bundle with size 18 rubber band.
11.	Place numbered documents in prepared folder. Bundle with size 33 rubber band.
12.	Place stack of checks on top of the folder under the rubber band.
13.	Take the batch or route to Truck Control to key and release for cashiering.

NITS - NONADMITTED INSURANCE ON TAX PREMIUMS

NUMBERING PROCEDURES

STEP	PROCEDURE
1.	Securely staple NITS cover sheet to FTB 1941 blank manila folder with the opening facing upward; secure leaving margin on top.
2.	Draw a box in upper left-hand margin for the item count.
3.	Write NITS in center margin.
4.	Draw a horizontal line in upper right-hand margin for the DLN.
5.	Obtain DLN from logbook. Use current date in book and on cover sheet.
6.	Stamp DLN on cover sheet and folder in appropriate space, using a PUC machine.
7.	Number documents and checks with corresponding numbers consecutively 00 through 99 or short batch.
8.	Indicate item count on folder and cover sheet in appropriate spaces.
9.	For nonremit only: Secure route slip to the back of folder. Send to: Nonresident Withholding, Mail Stop F-265. Write instruction at bottom of route slip.
10.	Place documents in folder and bundle with size 33 rubber bands.

Note:

NITS cover sheet is mustard yellow.

**NITS - NONADMITTED INSURANCE
ON TAX PREMIUMS (CONT.)**ITEM
COUNT

ID #

N.I.T.S. REMIT

DLN #

BATCH NUMBER _____

ITEM COUNT _____

DATE _____

INITIALS _____

**N.I.T.S.
REMIT**

CASHIERING : JOB STREAM : #135.105

SECTION : 8.1 _____ 8.2 _____

DOC: X _____ CHECKS : W _____

REMITTANCE AMOUNT _____

NITS—NONADMITTED INSURANCE ON TAX PREMIUMS (CONT.)

<p>BATCH CONTROL SHEET</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 40%;"> <p>BATCH NUMBER</p> <p>ITEM COUNT</p> <p>REC'D DATE</p> <p>INITIALS</p> </div> <div style="width: 55%;"> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> </div> </div> <div style="text-align: center; font-size: 2em; font-weight: bold;"> <p>N.I.T.S.</p> <p>NONREMIT</p> </div>	<div style="border: 1px solid black; padding: 5px; text-align: center; margin-bottom: 10px;"> ITEM COUNT </div> <p>ID # _____</p> <div style="text-align: center; font-size: 1.5em; font-weight: bold; margin-top: 20px;"> <p>N.I.T.S. NONREMIT</p> </div> <p style="text-align: right; margin-top: 100px;">DLN # _____</p>
---	---

NITS - NON-ADMITTED INSURANCE ON TAX PREMIUMS (CONT.)

N.I.T.S. FOLDER FOR REMIT AND NONREMIT (BACK SIDE)

<p align="center">FRANCHISE TAX BOARD</p> <p align="center">Messenger Service Route Slip</p>	
TO : <u>NONRESIDENT WITHHOLDING</u>	DATE : <u>CURRENT</u>
<div style="border: 2px solid black; padding: 10px; margin: 10px auto; width: 80%;"> <p>MAIL STOP F — 182 MAIL STOP</p> </div>	
FROM : NUMBERING UNIT	MAIL STOP: L
	160 PHONE: _____
COMMENTS: <u>TYPE OF WORKLOAD</u> _____ _____ _____ _____	

RID

INTRODUCTION:

RID is a request from the taxpayer for a copy of return.

PROCEDURES LONG FORM

STEP	PROCEDURE
1.	Obtain document locator number from block number record book. Write current date in book.
2.	Staple RID cover sheet to FTB 1941 blank manila folder.
3.	With folder opening upward, draw the item count box in the upper left margin.
4.	Indicate numberer ID to right of box.
5.	Write RID in upper center margin.
6.	Draw horizontal line in upper right-hand margin.
7.	Stamp the DLN on the horizontal line, cover sheet, and logbook. Use HRA/PUC machine (five digit numbers).
8.	Set bates numbering machine to "Duplicate." Begin numbering both checks and documents with corresponding numbers. All checks and documents must have the same DLN.
9.	Write the item count in appropriate box and on cover sheet.
10.	Review numbered documents and checks. Separate checks from documents and build a neat pile and bundle with size 18 rubber band.
11.	Place documents in folder, banding them with size 33 rubber bands. Put the stack of checks on top of the folder under the rubber band.
12.	Take the batch or pick-up person will route to Truck Control to key and release for cashiering.

Note:

RID cover sheet is light blue.

RID (CONT.)

BATCH CONTROL SHEET						ITEM COUNT	ID #
BATCH NUMBER _____						R.I.D.	DLN # _____
ITEM COUNT _____							
REC'D DATE _____							
INITIALS _____							
REMIT AMOUNT _____							
<h1 style="margin: 0;">R.I.D.</h1> <p style="margin: 10px 0;">CASHIERING: JOB STREAM # 800.105</p> <p style="margin: 0;">SEC. 8.2-DOCS:(H)____ SEC. 8.1-CHECKS(G)____</p>							
ICBS – ITEMS REMOVED							
ITEM #	DATE	ITEM#	DATE	ITEM #	DATE		

FTB 7032K (REV-12-2005)

INDUSTRIAL HEALTH AND SAFETY COLLECTIONS

PROCEDURES FOR LONG FORM

STEP	PROCEDURE
1.	Obtain DLN from block number record book. Write current date in book.
2.	Staple IHS cover sheet to FTB 1941 blank manila folder.
3.	With folder opening upward, draw the item count box in the left-hand margin.
4.	Indicate numberer ID in right-hand margin.
5.	Write IHS in upper center margin.
6.	Draw horizontal line in upper right-hand margin.
7.	Stamp DLN on horizontal line, cover sheet, and in logbook. Use HRA/PUC machine (5-digit numbers).
8.	Set bates numbering machine to "Duplicate." Begin numbering both checks and documents with corresponding numbers. All checks and documents must have the same DLN.
9.	Write the item count in appropriate box and on cover sheet.
10.	Review numbered documents and checks. Separate checks from documents and build a neat pile and bundle with size 18 rubber band.
11.	Place documents in folder and bundle with size 33 rubber bands. Put the stack of checks on top of the folder under rubber band.
12.	Take the batch or pick-up person will route to Truck Control to key and release for cashiering.

INDUSTRIAL HEALTH AND SAFETY COLLECTIONS (CONT.)

PROCEDURES FOR SHORT FORM

STEP	PROCEDURE
1.	Obtain DLN from logbook and write current date in block number record book.
2.	Stamp cover sheet with DLN.
3.	Begin numbering both documents and checks with corresponding numbers.
4.	Indicate the item count in appropriate space.
5.	Band checks with size 18 rubber bands.
6.	Secure checks, documents, and cover sheet with size 18 rubber bands.

Note:

Tape cover sheet to any short envelope.

BATCH NUMBER _____	ITEM COUNT _____
REC'D DATE _____	INITIALS _____
<h1 style="margin: 0;">I.H.S.</h1>	
CASHIERING: JOB STREAM #540.105	
SECTION: 8.1 CHECKS: _____ 8.2-DOCS: _____	
REMITTANCE AMOUNT _____	
ENTRY: JOB STREAM #540.101	SECTION 8.1 _____
TRUCK# _____ CMC# _____	WRITE _____ VERIFY _____

**NONREMIT 592, 593, & 594 WITHHOLD
AT SOURCE**

INTRODUCTION:

Nonremits 592, 593, and 594 come from the Miscellaneous Unit. The only thing that should be routed to the Numbering Unit is nonremit 592 and the second pages.

BATCH CONTROL SHEET		ITEM COUNT
BATCH NUMBER	_____	592 NONREMIT
ITEM COUNT	_____	
REC'D DATE	_____	
INITIALS	_____	
NONREMIT 592 WITHHOLD AT SOURCE		DLN # _____

(****) = Indicates confidential and/or proprietary information has been redacted.

**NONREMIT 592, 593, & 594 WITHHOLD
AT SOURCE (CONT.)**

BACK OF FOLDER 592, 593, and 594 NONREMIT

<h2 style="margin: 0;">FRANCHISE TAX BOARD</h2> <p style="margin: 0;">Messenger Service Route Slip</p>			
<p>TO : <u>NONRESIDENT WITHHOLDING</u> DATE : _____</p> <p>_____</p>	<div style="border: 2px solid black; padding: 10px; text-align: center;"> <div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: center;">MAIL STOP</div> <div style="border: 1px solid black; padding: 5px 10px;">L</div> <div style="text-align: center;">—</div> <div style="border: 1px solid black; padding: 5px 10px;">182</div> <div style="text-align: center;">MAIL STOP</div> </div> </div>		
<p>FROM : <u>NUMBERING UNIT</u> MAIL STOP: <div style="border: 1px solid black; padding: 2px 10px;">L</div> — <div style="border: 1px solid black; padding: 2px 10px;">160</div></p> <p>PHONE: _____</p>	<p>COMMENTS <u>TYPE OF WORKLOAD</u> _____</p> <p>_____</p>		

PUC NUMBERING

INTRODUCTION:

Public Utilities Commission (PUC) is a contract job. All PUC documents with remit are processed through Numbering Unit. PUC documents without remit are batched and sent back to Sort Unit. Documents are sorted by transaction codes.

RULE:

PUC numbers run consecutively for five years; every five years the series will start at 00 again.

Series 97 (970000 through 989999) is reserved for PUC only. We will **never** use this series.

Each PUC document will be date stamped individually with the envelope attached to the back.

Any PUC document with correspondence must have a brown "C" in the upper right corner of the form.

All PUC documents will be numbered with an HRA/PUC bates numbering machine. Identified by small numbers.

All cash slips must be coded with a brown "C" by the posted amount and write "CASH" in brown pencil on the document.

PUC – SERIES CHART

BIN	SERIES	INCLUDES TRANSACTION CODES
1	10	100, 110, 120, and 150
2	20	200, 201, 201, and 220
3	30	300, 301, and 310
4	40	400 and 450
5	50	500, 501, 510, and 511
6	60	600, 610, 620, 630, and 640
7	70	700, 701, and 710
8	80	800
9	81	810, 820, 821, and 830
10	90	900, 901, 902, and 910
11	99	999

PUC FOLDER PREPARATION

INTRODUCTION:

Numbered PUC documents are batched using the FTB 1941 blank manila folder and a PUC cover sheet.

PROCEDURES

STEP	PROCEDURE
1.	Staple PUC cover sheet to front of FTB 1941 folder leaving a margin on the open side. Write PUC in margin and draw a square for the item count.
2.	Stamp batch number on cover sheet and FTB 1941 folder on right lower margin of open side.
3.	Write your initials on the folder.
4.	Review numbered documents and checks.
5.	Separate checks from documents. Stack checks into neat pile and rubber band with size 18 rubber bands.
6.	Stack documents into neat pile and place into folder. Rubber band with size 33 rubber band.
7.	Write the item count on the cover sheet and FTB 1941 folder.
8.	Place checks on top of the file folder under rubber band.
9.	Take the batch or pick-up person will route to Truck Control to key and release for cashiering.

Sorts Unit will fill in the transaction type and date on the cover sheet.

If the documents have the same received date, this date will be on the cover sheet. If different dates are on the document, "Mixed Dates" will be written on the cover sheet.

If all transaction types in the batch are the same, the transaction type will be written on the cover sheet. If the transaction types are different, "Mixed" will be written on the cover sheet.

Note:

Only certain transaction types can be mixed in a series. See example of folder preparation on the next page.

PUC FOLDER PREPARATION (CONT.)ITEM
COUNTID
#**BATCH CONTROL SHEET**

BATCH NUMBER

ITEM COUNT

REC'D DATE

INITIALS

REMIT AMOUNT

P.U.C.**CASHIERING: JOB STREAM # 648.801****SEC. 8.2-DOCS:(U)_____ SEC. 8.1-CHECKS(P)_____****ENTRY: JOB STREAM #648.801 SEC. 8.3****TRUCK#_____CMC#_____ WRITE_____ VERIFY_____****ICBS – ITEMS REMOVED**

ITEM #	DATE	ITEM#	DATE	ITEM #	DATE

FTB 7032 (REV-12-2005)

P.U.C.

DLN # _____

FTB CHECK PROCESSED AS PUC

INTRODUCTION:

Occasionally an FTB check will be processed in error to a PUC batch. Special procedures are listed below to correct the problem.

PROCEDURES

STEP	PROCEDURE
1.	Inform the Sorts Unit lead that there is an error in the PUC batch. Indicate the number of checks and documents involved and when it will be sent to FTB.
2.	Prepare check/checks payable to FTB. Note: Each separate document must have a check.
3.	Mail check and original document to: Franchise Tax Board PO BOX 1468 Sacramento CA 95867 Attn **** Receiving Section

FTB CHECK PROCESSED AS PUC (CONT.)

INTRODUCTION:

Treat as a Walk Thru batch to ensure correct and prompt processing.

PROCEDURES

STEP	PROCEDURE
1.	The Sorts Unit lead will inform PIT Miscellaneous Unit that PUC will be sending documents and checks that require special handling.
2.	PIT Miscellaneous supervisor will hand carry documents and checks to Numbering supervisor.
3.	Numbering supervisor will verify that PUC document has correct date, which should be the original process date.
4.	Number in separate batch.
5.	Record information in Numbering Error logbook.
6.	Log out as a Walk Thru in Truck Control.
7.	Hand carry batch to Cashiering supervisor.

HRA CLAIMS NUMBERING

INTRODUCTION:

Sorted HRA claims are brought to the Numbering Unit from the Sorts Unit in labeled or nonlabeled bundles. HRA claims are separated into six different series.

RULE:

Use FTB 1942 folder for HRA claims.

Every year in May, the first number of the HRA series changes to reflect the year. The series for May 2006 is 06-069 and May 2007 is 07-079 and so forth.

HRA SERIES CHART 2007 & 2008

Series	07 Claim Year July 1, 2007 – June 30, 2008	08 Claim Year July 1, 2008 – June 30, 2009
70 SERIES 07 CLAIM YR HOMEOWNER AGED – LABEL/RENEWAL	700000 709999	800000 809999
74 SERIES 07 CLAIM YR HOMONER AGED – NON LABEL & PREVIOUS/PRIOR YR HOMEOWNER ALL – NON LABEL	740000 749999	840000 849999
76 SERIES 07 CLAIM YR RENTERS AGED – LABEL/RENEWAL	760000 769999	860000 869999
78 SERIES 07 CLAIM YR RENTERS AGED – NON LABEL & PREVIOUS/PRIOR YR RENTERS ALL – NON LABEL	780000 787999	880000 887999

Note:

First digit in the series number corresponds to last digit in process year (i.e., 1999-series 90,91,94, etc., 2000-series 00,01,04, etc., 2001-series 10,11,14, etc.)

Any written change to a label becomes nonlabel. Nonlabel requires an update on the entity information for the taxpayer. Claim years for 2003 and prior are missorted to HRA correspondence basket in Truck Control.

HRA CLAIMS NUMBERING (CONT.)

FILING STATUS:

It may be necessary to determine the filing status. Below is a chart to help assist the numberer.

IF	THEN
One box is marked	Sort according to box checked.
Two or more boxes are marked	Pull as missort.
No boxes are marked	Note: A brown circle around a filing status indicate an entry to be deleted.
One box is initialed or checked with brown pencil	Sort to box indicated.

Note:

Aged takes priority over blind.

Blind takes priority over disabled.

Check HRA series chart for proper claim series.

Place numbers on HRA claims in same manner as 540 returns.

HRA is sorted – label/nonlabel, aged/disabled

Homeowners' previous and prior series (P/Y).

- With colored felt pen, write 'P/Y' on face of file folder.
- All claims are date stamped individually.

Renters' previous and prior series (P/Y).

- With colored felt pen, write 'P/Y' on face of file folder.
- All claims are date stamped individually.
- Put P/Y series in beginning of end of truck.

Any claim older than two years cannot be processed and must go back to HRA sorts.

All claims that say copy, duplicate, or amended must go back to HRA sorts.

HRA CLAIMS NUMBERING (CONT.)

PROCEDURES

STEP	PROCEDURE
1.	Obtain claims from appropriate bins.
2.	Use straight wheel all small 8-digit bates numbering machine.
3.	Turn indicator lever on bates numbering machine to "Repeat."
4.	Turn numbers on bates numbering machine to correspond with beginning block number on truck assignment sheet.
5.	Ink pad with ink.
6.	Stamp block number on truck assignment sheet. Write your initials and date in corresponding boxes.
7.	Prepare HRA claim folder as instructed on folder preparation.
8.	Turn indicator lever on bates numbering machine to "Consecutive."
9.	Number each claim starting at 00 to 99.
10.	Continue numbering until last digit is 99 or short block.
11.	Place documents in prepared HRA folder.
12.	Write the actual item count on front of folder and circle last number stamped on the block envelope.
13.	Place completed block in corresponding unit box on truck.
14.	Repeat entire procedure until all numbers on the truck assignment sheet have been completed.
15.	Take completed truck to Truck Control.

Note:

Be careful to number all the returns; sometimes the returns stick together.

BANKRUPTCY

INTRODUCTION:

Numbering Chapter 13 and 7 Bankruptcy procedures. Numbering Unit receives bankruptcy documents from PIT Misc. Unit.

PROCEDURES

STEP	PROCEDURE
1.	Attain DLN from bankruptcy block number record book.
2.	Using a PUC/HRA bates numbering machine, stamp first available DLN, write Chapter 7 or 13 in block record book.
3.	Complete your FTB 6146 batch control sheet. Note: Chapter 7 has a different job stream and section number.
4.	Number 100 DLNs per batch.
5.	Staple batch control sheet to first page. Use three size 18 rubber bands to wrap the docs.
6.	Route completed batches to Work Control.
7.	Provide the Miscellaneous Unit with the total count on a daily basis.

Note:

Bankruptcy must be routed before 2:00 p.m.

BANKRUPTCY (CONT.)

UNITED STATES BANKRUPTCY COURT Central District of California

Notice of Chapter 7 bankruptcy Case, Meeting of Creditors & Deadlines Individual or Joint Debtor – No Asset Case

A chapter 7 bankruptcy case concerning the debtor(s) listed below was filed on November 13, 2001

You may be a creditor of the debtor. **This notice lists important deadlines.** You may want to consult an attorney to protect your rights. All documents filed in the case may be inspected at the bankruptcy clerk's office at the **U.S. Bankruptcy Court, United States Federal Building, 300 North Los Angeles Street, Los Angeles, CA 90012.**

See Reverse Side For Important Explanations

Debtor(s) (name(s) address)

NAME

ADDRESS

Case Number:	Social
Security/Taxpayer ID Nos.:	NUMBER
Attorney for Debtor(s) (name, address, telephone)	Bankruptcy Trustee (name, address, telephone)
NAME	NAME
ADDRESS	ADDRESS
CITY, STATE, ZIP	CITY, STATE, ZIP
TELEPHONE NUMBER	TELEPHONE NUMBER

Meeting of Creditors

Date:	December 17, 2001	Time:	9:00 A.M.
Location:	221 N. Figueroa St., Ste. 101, Los Angeles, CA 90012		
Deadlines			

Papers *must* be received by the bankruptcy clerk's office by the following deadlines:

Deadline to File a Complaint Objecting to Discharge of the Debtor or to Determine Dischargeability of Certain Debts:
February 15, 2002

Deadline to Object to Exemptions:

Thirty (30) days after the *conclusion* of the meeting to creditors

Creditors May Not Take Certain Actions

The filing of the bankruptcy case automatically stays certain collection and other actions against the debtor and the debtor's property. If you attempt to collect a debt or take other action in violation of the Bankruptcy Code, you may be penalized.

Please Do Not File A Proof of Claim Unless You Receive a Notice To Do So

Address of the Bankruptcy Clerk's Office:	For the Court:
U.S. Bankruptcy Court 255 East Temple Street Los Angeles, CA 90012 Telephone number: (213) 894-3118	Clerk of the Bankruptcy Court: ****
Hours Open:	Date:

Data Entry Support Batch Control Sheet

TRUCK NO. _____ CMC
NO. _____
JOB _____ STREAM _____ NO. _____
SECTION 115.305 PAGE _____
1. _____ BATCH _____ NO. _____
2. _____ ITEM _____ COUNT _____
3. SPECIAL INSTRUCTIONS _____
_____CH. _____
7. _____
4. _____ REQUESTER
CODE _____
5. DATE _____
6. TRANSACTION
CODE _____

DATA ENTRY OPERATORS

ENTRY	DATE	VERIFY	DAT E

BANKRUPTCY (CONT.)

UNITED STATES BANKRUPTCY COURT-NORTHERN DISTRICT OF CALIFORNIA
ORDER ESTABLISHING PROCEDURES &
CHAPTER 13 NOTICE FOR MEETING OF CREDITORS

In Re
TAXPAYER
ADDRESS
CITY, STATE, ZIP CODE
SSN#

CHAPTER 13 CASE NO. _____

TO: FRANCHISE TAX BOARD
P O BOX 942867
SACRAMENTO, CA
94267-2021

YOUR ACCOUNT NUMBER: _____

DATE CASE FILED _____

PLEASE TAKE NOTICE:
IT IS HEREBY ORDERED AND NOTICE IS REEBY GIVEN THAT:

- 1. COMMNCEMENT OF CASE:** The above named debtor or joint debtors filed a petition for relief under U.S. Bankruptcy Code and listed you as a creditor. You are subject to the automatic stay of 11 U.S.C. § 362 and §1301 codebtor stay are instructed to read the summary of the automatic stay enclosed. You will not receive notice of all documents filed in this case. All documents are filed with the court and are available for inspection. The court's and trustee's employees are not permitted to give legal advice. The enclosed plan explains the debtor's proposal to pay creditors over a period of time.
2. The debtors attorney has requested fees in the amount of : 1,8000.00
3. **THE DEBTOR SHALL MAKE THE FIRST PAYMENT PROPOSED BY THE PLAN WITHIN 30 DAYS AFTER THE PLAN IS FILED OR THE CASE MAY BE DISMISSED WITHOUT FURTHER NOTICE.**
4. A **MEETING OF CREDITORS** will be held on: **December 18, 2001 at 12:00 pm at: THE QUADRANGLE, 1000 S. MAIN STREET #214 SALINAS, CA 93902.**
The debtor must appear in person for the purpose of being examined.
Attendance by creditors is welcome but not required.

WRITTEN OBJECTIONS TO CONFIRMATION must be filed with the U.S. Bankruptcy Court by the date of the meeting of creditors and served upon the trustee and debtor's attorney or, if not represented by an attorney, the debtor.

- 5. BINDING EFFECT OF PLAN:** The plan shall be binding upon creditors if approved at a confirmation hearing.

You should review the enclosed plan carefully as your legal rights may be affected by the plan.

SPECIAL NOTICE TO SECURED CREDITORS: The valuations of collateral securing claims provided for in the confirmed plan shall be binding and shall determine the maximum value of a claimant's secured claim.

6. A **HEARING ON CONFIRMATION** of the plan shall be held on : **January 2, 2002 at 10:00am at: THE U.S. COURTHOUSE, 280 S. FIRST STREET, SAN JOSE, CA 95113**, unless an objection to confirmation is filed in which case a **PREHEARING CONFERENCE** will be held on : **February 15, 2002. IF AN OBJECTION IS FILED, YOU MUST COMPLY WITH THE ENCLOSED ORDER REOBJECTION TO CONFIRMATION (see for time & place).**

7. At the confirmation hearing the court may dismiss or convert the case or continue the hearing without further notice if the debtor is unable to propose a confirmable plan. The court will notify creditors if the case is dismissed or converted.

8. DEADLINE TO FILE

Data Entry Support Batch Control Sheet

TRUCK NO. _____ CMC
NO. _____
JOB _____ STREAM _____ NO. _____
SECTION 115.306 PAGE _____
8.2

1. _____ BATCH _____ NO. _____

2. _____ ITEM _____ COUNT _____

3. SPECIAL INSTRUCTIONS _____
_____ CH. _____

13 _____

4. _____ REQUESTER
CODE _____

5. DATE _____

6. TRANSACTION
CODE _____

DATA ENTRY OPERATORS

ENTRY	DATE	VERIFY	DAT E

CONTROL SHEET FOR BANKRUPTCY PREPARATION

BANKRUPTCY PROCEDURES

USE	FOR	STEP	PROCEDURE
FTB 6146	CH 7 Bankruptcy	1.	Stamp beginning batch number on number line.
		2.	Date stamp "Rec'd Current Date."
		3.	<ul style="list-style-type: none"> • ****. • Write 8.1 on Section line. • Write Chapter 7 on Special Instructions line.
		4.	Write actual count on item count line.
FTB 6146	CH 13 Bankruptcy	1.	Stamp beginning batch number on number line.
		2.	Date stamp "Rec'd Current Date."
		3.	<ul style="list-style-type: none"> • ****. • Write 8.2 on Section line. • Write Chapter 13 on Special Instructions line.

FISCAL YEAR END PROCEDURE

EXPLANATION:

Every year **all** remit documents and returns received on June 30 and prior are separated from those received on July 1 and after. The object is to account revenue received in each particular fiscal year.

PROCEDURE:

Prior to June 30, additional bins or baskets are set up for the returns. All blocks/batches are identified and recorded as either June or July in the block number record book. The numberer attaches an orange dot to the folder or envelope to identify June blocks/batches.

Note:

This procedure begins June 30 and extends approximately one week.

FOREIGN CHECKS PROCEDURE

INTRODUCTION:

This is a special procedure in handling payments of returns, correspondence, and other documents with foreign checks. Foreign checks are checks coming or withdrawn from banks in other countries. If a return is received with a foreign check, it is routed to ICBS and they will process it. ICBS makes cash slips and receipts for foreign checks and sends them back to the Numbering Unit. Numbering will number the returns, checks, cash slips, and receipts respectively.

PROCEDURE

STEP	PROCEDURE
1.	Get block number record book.
2.	Find the correct series for the DLN that corresponds with the form type. Write "Foreign Checks" next to the DLN number.
3.	Follow the regular numbering procedure.
4.	If numbering process is complete, review numbered checks and documents.
5.	Take to Truck Control to key and route to ICBS for cashiering.

FRAUD

INTRODUCTION:

When numbering returns, be aware of certain items that might constitute fraud.

FRAUD:

Fraud referrals mainly are groups of returns. Take return to supervisor if they meet the fraud guidelines.

GUIDELINES:

W-2 Fraud

- Income is inconsistent with W-2 and return.
- Excessive State Withholding compared to 10% wages.
- W-2 contains strikeouts or words are misspelled.
- Typed W-2 from a large company.
- Separate returns for different taxpayers but contain handwritten or typed W-2s with the same income, employer, and withholding. W-2s should have either a State or Federal Identification Number.

Preparer Fraud

- Preparer signs for taxpayer.
- Return and preparer's address are the same and signatures are similar.

Refund mills

- Similar handwriting, signatures, names, and SSN (usually in clusters).
- Always refer when more than one address is involved, returns are similar, and there is no preparer information.

FRAUD (CONT.)

GUIDELINES (CONT.)

DO NOT REFER IF:

W-2 Fraud

- Any handwritten or altered W-2 if withholding or refund is under ****.

Preparer Fraud

- Returns are going to the taxpayer's address.

Refund Mills

- Public Guardian, Regional Centers, and Conservators etc.
- Volunteer Validated (six digit number with initials).
- Filer Validated (two digit number with initials).

ROUTING:

Fill out FTB 6620, Refund Verification Referral. Route suspicious documents with FTB 6620 to Document Resolution. Refund Verification Unit will return form FTB 6620 to referring supervisor. Be sure to indicate "Receiving-Numbering" on route slip.

FRAUD – PRISON ADDRESSES

INTRODUCTION:

Returns that appear on this list are automatically referred during processing. Do **not** refer these items.

EXCEPTION:

Those returns that have a cellblock number and/or identification number (alpha and numeric) with the same city should **be** referred.

GENERAL INFORMATION:

* STAFF

* PRISONERS

CALIFORNIA CORRECTIONAL CENTER
711-045 Center Rd
PO Box 790.2210
Susanville CA 96130

CALIFORNIA MEN'S COLONY
Highway 1
PO Box A SLO CA 93401
PO Box 8103 SLO CA 93403
PO Box AE 8101 8103
San Luis Obispo CA 93409

CALIFORNIA CORRECTION INSTITUTION
End of Highway 202
PO Box 107, 608, 1031, 1902, 1905
Tehachapi CA 93561

MULE CREEK STATE PRISON
(California State Prison, Amador)
1 East Main St
4001 Highway 104
PO Box 409099
Ione CA 95640

CALIFORNIA INSTITUTION FOR MEN
14901 Central Ave
PO Box 128, 368, 441, 500, 600
Chino CA 91718

CALIFORNIA STATE PRISON,
AVENAL
801 San Joaquin St
PO Box 8, 9
1 Kings Way
Avenal CA 93204

CALIFORNIA INSTITUTION FOR WOMEN
16756 Chino-Corona Rd
Frontera CA 91720 *or*
PO Box 6000
Corona CA 91718

CALIFORNIA STATE PRISON,
CORCORAN
4001 Kings Ave
PO Box 3456, 8800
Corcoran CA 93212-8309

CALIFORNIA MEDICAL FACILITY
1600 California Dr
Vacaville CA 95687
PO Box 2000, 3000, 4000
Vacaville CA 95696

CALIFORNIA STATE PRISON,
SACRAMENTO
PO Box W, 29
Sacramento CA 95671

FRAUD – PRISON ADDRESSES (CONT.)

CALIFORNIA MEDICAL FACILITY-SOUTH
PO Box 4000
Vacaville CA 95696-4000

CHUCKAWALLA VALLEY STATE PRISON
(California State Prison, Riverside)
19025 Wileys Well Road
PO Box 2289, 2439
Blythe CA 92225

CALIFORNIA STATE PRISON, SAN
QUENTIN
San Quentin, CA 94964 *or*
PO Box A, B, C, D, E
Tamal CA 94974

CORRECTIONAL TRAINING FACILITY
Highway 101 N.
P.O. Box 686, 689, 690, 705, 1357
Tracy CA 95376

DEUEL VOCATIONAL INSTITUTION
23500 Kasson Rd
PO Box 400, 600, 6000
Tracy CA 95376

SIERRA CONSERVATION CENTER
5100 O'Byrnes Ferry Rd
PO Box 497, 617
PO Box 500 Level 3
PO Box 589 Baseline Camp
Jamestown CA 95327

RICHARD J DONOVAN
CORRECTIONAL
Facility at Rock Mountain
480 Alta Rd
PO Box 73200
San Ysidro CA 92073 *or*
San Diego CA 92179

CALIFORNIA REHABILITATION
CENTER
5th Street and Western
PO Box 27, 1800, 1841, 3535
Norco CA 91760

NORTHERN CALIFORNIA
WOMEN'S FACILITY
715 East Arch Road
Stockton CA 95025
PO Box 213006, 213022
Stockton CA 95213-9006

FRAUD – PRISON ADDRESSES (CONT.)

GENERAL INFORMATION:

* STAFF

* PRISONERS

FEDERAL CORRECTIONAL INSTITUTION PO Box 7 San Pedro CA 90731	213.831.8961
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or

TERMINAL ISLAND
PO Box 7
San Pedro CA 90731

FEDERAL CORRECTIONAL INSTITUTION PO Box 1000 Pleasanton CA 94566	415.829.3522
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METROPOLITAN CORRECTIONAL CENTER 808 Union St San Diego CA 92101	619.232.4311
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FEDERAL PRISON CAMP PO Box 500* or 1000** Boron CA 93516	619.762.5161
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U.S. PENITENTIARY 3901 Cline Blvd Lompoc CA 93436	805.735.2771
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or

U.S. PENITENTIARY
7600 Guard Rd
Lompoc CA 93436

PROCEDURE CHANGE/VOUCHERS

Effective April 20, 2001, Receiving changed how the remittance work is processed for Information Processing and Cashiering System (IPACS). Extractions will bring clean bundles of current year payment documents to IPACS. The new procedures are:

PIT VOUCHERS (Single voucher with single or multi checks):

The following types of PIT vouchers are bundled together in a batch:

- 540 ES (PIT Estimates).
- 541ES (Fiduciary Estimates).
- 3519 (PIT Extensions).
- 3563 (Fiduciary Extensions).
- 3582 (ELF Payment).
- 3583 (Telefile Payment).

Do **not** attach multiple checks to the voucher (doc/check order).

CORP VOUCHERS:

Procedures for processing Corp vouchers have also changed. Clean Corp documents are routed to IPACS:

- 100ES (Corp Extensions).
- 3522 (LLC Vouchers).
- 3537 (LLC Extensions).
- 3538 (LLP Extensions).
- 3539 (Corp Extensions).

All dirty 100ES, 3522, 3537, 3538, and 3539 forms are routed to Miscellaneous Unit.

RPS/PIT AND CORP:

Extractions will continue to sort and route clean PIT and Corp RPS (Bill Payments) to IPACS. Do **not** combine PIT or Corp RPS vouchers.

INK COLORS

INTRODUCTION:

The color ink used to number all documents and returns is different every year. The change is made in December.

PIT/CORP COLOR CHART

TAX YEAR	PROCESS YEAR	COLOR
2007	2008	****
2008	2009	****
2009	2010	****
2010	2011	****
2011	2012	****
2012	2013	****
2013	2014	****

EXCEPTION:

HRA ink color changes during the new fiscal year in July.

ERROR MEMO PROCEDURES - BANK & CORPORATION-PIT

INTRODUCTION:

All remit B&C and PIT are logged into the error memo book.

Note:

Error memos are remit returns that are numbered with wrong DLNs.

PROCEDURES

STEP	PROCEDURE
1.	Fill out the explanation page in the error memo book.
2.	Get the correct remit book to get the DLN.
3.	Renumber forms with correct DLN.
4.	Make two copies of error memo log.
5.	Only highlight the error memo(s) that you fix.
6.	Leave one copy on top of batch. Route the other copy to Fiscal Control.
7.	Take batch to Truck Control to key.
8.	Drop off the batch to ICBS.

Note:

Whatever comes with the batch stays on top of new batch.

GLOSSARY

BANKRUPTCY	Notices of Declaration of Bankruptcy.
BETS	Business Entity Tax System.
CORP	Corporation accounts, such as Business Entity, Corporation, Bank and Corporation, Limited Liability Company, and Limited Liability Partnership. Workload containing remit and nonremit documents and returns.
Current Year	The current tax year.
DIR	Department of Industrial Relations.
DLN	Document Locator Number. Number ranges assigned to different types of workloads in order to track documents and payments through the pipeline.
Entity	Taxpayer Name and Address.
Extractions	The Extractions Unit is responsible for opening (extracting) mail from envelopes. Assembles and sorts returns and documents at a Tingle Table. Routes work to Sorts, Misc., Video Units, and IPACS for further processing.
HRA	Homeowners and Renters Assistance. A benefit program designed for individuals who meet income requirements and are over the age of 62, under the age of 62 and blind, or under the age of 62 and disabled (not blind).
ICBS	Information Capture and Banking Section.
IPACS	Image Processing and Cashiering System.
ISCAR	In-State Contract Collections.
KDO	Key Data Operators.
LOGS	Letter of Good Standing.
LLC	Limited Liability Company. An unincorporated company formed under applicable state statute whose members cannot be held liable for the acts, debts, or obligations of the company, and they may elect to be taxed as a partnership.
LLP	Limited Liability Partnership. A partnership formed under applicable state statute in which the partnership is liable as an entity for debts and obligations and the partners are not liable personally.
Miscellaneous	The Misc Unit prepares a variety of personal income tax and corporation documents for processing within an established time frame.
Mutilated Mail	Mail that has been damaged so severely, FTB cannot process.
NITS	Nonadmitted Insurance on Tax Premiums.

GLOSSARY (CONT.)

Nonremit	A term used to describe no money or checks attached.
Nontax	Programs not associated with Personal Income Tax or Corporation Tax, such as COD (Court-Ordered Debt), VRC (Vehicle Registration Collections), or CSCP (Child Support Collection Program).
Nontax Video	The Nontax Video Unit is responsible for processing unidentifiable Nontax payments using the TI System.
NPA	Notice of Proposed Assessment.
OSCAR	Out-of-State Collection Agency Remittances.
PIT	Personal income tax. Workload containing remit and nonremit documents and returns.
PIT Docs	Personal income tax documents and PIT documents. Workload containing documents received with money.
PIT Return Remit	Personal income tax returns received with money.
PIT Video	PIT Video Unit is responsible for processing unidentifiable personal income tax returns and payments using the Taxpayer Information (TI) system. Process Garnishment Payment workloads.
Previous Year	A return within three years preceding the current tax year.
Prior Year	A return beyond three years of the current tax year.
PUC	Public Utility Commission. The PUC regulates privately owned electric, telecommunications, natural gas, water, and transportation companies. In addition to household goods movers and rail safety. FTB processes payments for these services on behalf of the PUC.
Remit	To transmit or send money or a check to a person or place, usually a payment.
RID	Record Information Disclosure. This is a form used to request a copy of a taxpayer's tax return.
Sorts	The Sorts Unit is responsible for date stamping, sorting, and perfecting returns. Routes returns to Numbering for further processing.
TNPX	Tax News Package X is a booklet issued by FTB containing the different forms and instructions used. Tax News is a publication issued by FTB to tax preparers and CPAs to cover information on new laws and/or legislation affecting the taxpayer.

GLOSSARY (CONT.)

Trucks	Carts with trays designed to hold returns.
Video	Remit mail received that contains no FTB return or document, a check, or envelope.
Vouchers	Estimates, payment coupons, extension payments. Estimated quarterly payments, payment of tax due for e-file, and payment of estimated taxes due when filing an extension.